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10.A. Officer Evaluation System

10.A.1. General

This chapter Applies to both active duty (ADPL) and reserve (IDPL) officers. Expanded reserve-specific guidance is provided as necessary. Commander, Coast Guard Personnel Command manages the officer evaluations system for all Coast Guard officers.

10.A.1.a. Purpose

The Coast Guard Officer Evaluation System (OES) has been designed to:

1. Provide information for important personnel management decisions. Especially significant among these decisions are promotions, assignments, and career development.
2. Set performance and character standards to evaluate each officer.
3. Prescribe organizational values by which each Coast Guard officer can be described.
4. Provide a means of feedback to determine how well an officer is measuring up to the standards.

10.A.1.b. Policy

1. Commanding officers must ensure accurate, fair, and objective evaluations are provided to all officers under their command. To that end, performance evaluation forms have been made as objective as possible, within the scope of jobs and tasks performed by officers. In using the Officer Evaluation Form, CG-5310 (series), strict and conscientious adherence to specific wording of the standards is essential to realizing the purpose of the evaluation system.
2. Individual officers are responsible for managing their performance. This responsibility entails determining job expectations, obtaining sufficient performance feedback, and using that information to meet or exceed standards.

10.A.1.c. Definitions

The following terms apply to the officer evaluation system:

1. Officer Evaluation System (OES). The Coast Guard system which addresses performance appraisal of its officers.
2. Officer Evaluation Reports (OER). Form CG-5310 (series), used to document Coast Guard officers' performance and potential. Key elements of the form are as follows:

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- a. Performance Dimensions. The items on which the Coast Guard evaluates its officers (e.g., writing, judgment, etc.).
- b. Evaluation Areas. The four major performance categories into which all performance dimensions are grouped (e.g., Performance of Duties, Leadership Skills, etc.).
- c. Performance Standards. The prescribed expectation levels within each performance dimension. The standards are written to provide a common frame of reference among rating officials to which an officer's observed performance and qualities may be compared. Each dimension has three separate written standards of performance:

Below standard	Describes performance not measuring up to the levels expected
Standard	Describes the high level of performance expected of all Coast Guard officers
Above standard	Describes superlative performance

3. Officer Support Form (OSF) CG-5308. The worksheet used to describe duties, establish goals, document accomplishments, and facilitate performance feedback.
4. Rating Chain. The succession of individuals who are responsible for preparing, completing, and reviewing an officer's OER as defined by the following roles:
 - a. Reported-on Officer. The subject of the OES. All commissioned officers of the Coast Guard are evaluated periodically. Flag officers are evaluated under a separate system.
 - b. Supervisor. Normally, the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.
 - c. Reporting Officer. Normally the Supervisor's supervisor.
 - d. Reviewer. Normally the Reporting Officer's supervisor.
5. Performance Feedback. No specific form or forum is prescribed for performance feedback except for ensigns and lieutenants (junior grade). Performance feedback occurs whenever a subordinate receives advice or observations related to their performance in any evaluation area. Performance feedback can take place formally (e.g., during a conference) or informally (e.g., through on-the-spot comments). Regardless of the forum, each officer should be clear about the

feedback received. If the feedback is not fully understood, it is the Reported-on Officer's responsibility to immediately seek clarification.

10.A.1.d. System Goals

1. Personnel Management. The OES is an important part of the Coast Guard officer personnel management system. It supplies information to Commander, (CGPC-opm) **and Commander, (CGPC-rpm)** for personnel management decisions in a variety of areas.
 - a. Promotion. Throughout their careers, Coast Guard officers are selected for promotion to the next grade by boards of officers. Except for promotion to the grade of lieutenant (junior grade), more officers are eligible for promotion than are authorized under budget and statutory constraints. The cumulative file of officer performance evaluations provides one of the bases for selection of the best qualified officers from among those eligible.
 - b. Assignment. Prior performance, personal qualities, and potential for increased responsibilities, as documented in each officer's OER file, are important considerations in decisions made by assignment managers and panels. While a number of other factors such as billet requirements, experience, personal desires, and availability are also considered, the high level of competition for many assignments places even greater emphasis on performance.
 - c. Career Development. Career development is a cooperative process that seeks to meet immediate and future Coast Guard needs while satisfying the personal and professional aspirations of individual officers. The OES is a vehicle for performance feedback and career counseling by the rating chain and assignment managers.
2. Command and Control. The OES reinforces command authority by providing a clear delineation of the span of control and responsibility. While missions and resources primarily dictate organization, the OES can assist commanding officers in delineating lines of authority and responsibility, and ensuring common understanding of responsibilities.
3. Maintenance of Coast Guard Values and Standards. Each officer is evaluated in the OES, not only regarding job achievements, but also on common professional values and Service standards. These values are not only customs, but conditions of employment in the Coast Guard. They are defined by the performance dimensions and standards listed on the OER.

10.A.2. Responsibilities

10.A.2.a. The Rating Chain

The rating chain provides the assessment of an officer's performance and value to the Coast Guard through a system of multiple evaluators and reviewers who present independent views and ensure accuracy and timeliness of reporting. It reinforces decentralization by placing responsibilities for development and performance evaluation at the lowest levels within the command structure. The rating chain consists of the following members:

1. The Reported-on Officer
2. The Supervisor
3. The Reporting Officer
4. The Reviewer

10.A.2.b. Commanding Officers

1. Designation. Commanding officers are responsible to ensure members of the rating chain carry out their OES responsibilities. For the purpose of these instructions, commanding officers include area and district commanders, commanders of maintenance and logistics commands, commanding officers of Headquarters units and subordinate units or organizations and cutters.
2. Responsibilities. Commanding officers:
 - a. Implement the OES within their commands.
 - b. Designate and publish the command's rating chains.
 - c. Provide copies of rating chains to OER Administrators.
 - d. Assist and encourage the professional growth and knowledge of assigned officers by promulgating the contents of **Inactive Duty Reserve Boards, COMDTINST 1401.4 (series)**, Schedule of Officer Personnel Boards and Panels, COMDTINST 1401.5 (series), and Training and Educational Manual, COMDTINST M1500.10 (series).
 - e. Establish procedures that ensure timely submission of reports. Ensure that OERs for officers eligible for promotion or panel action are not delayed.
 - f. Provide local oversight and accountability for the proper preparation of OERs. Commanding officers are encouraged to monitor OERs submitted by the designated rating chain within their commands as a means of ensuring consistency.


- g. Encourage recurring training, for all officers within their commands, on the intent and procedures of the OES.
- h. Obtain formal training from Commander, (CGPC-opm) or **Commander, (CGPC-rpm)** for civilian employees of the Coast Guard who must perform the duties of either Supervisor or Reporting Officer. Civilians shall not be assigned to a rating chain before receiving OES training certification from Commander, (CGPC-opm) or **Commander, (CGPC-rpm)** and having incorporated the OES rating chain responsibilities in their **Core Competencies**.
- i. Apply the following guidelines to officers who are unable to fully perform due to illness, injury, pregnancy, etc.
 - (1) Periodically, officers may experience circumstances due to a temporary condition which result in a limited opportunity to perform. These circumstances may involve specific performance restrictions (e.g., those imposed by a medical authority), which require restructuring or reassignment of duties. While no preferential treatment shall be given, commanding officers shall ensure that these individuals do not receive below standard evaluations strictly as a consequence of these circumstances.
 - (2) Commanding officers, in consultation with the health care providers, must establish a “reasonable expectation of performance” given the individual’s current circumstances. In particular, commanding officers must determine whether or not an individual requires reassignment to a different work environment and/or restrictions on performing specific types of tasks. Additionally, reduced work hours may be necessary. When considering reassignment or restructuring of duties, commanding officers should strive to identify service needs which complement the temporarily limited abilities of the officer.
- j. Ensure performance in meeting requirements of the Coast Guard occupational health and safety program are documented appropriately and consistently with the Reported-on Officer’s assigned responsibilities and authority (This paragraph complies with Article 1960.11 of 29 CFR XVII.).

10.A.2.c. Reported-on Officer

1. Designation. The subject of the OES. All Coast Guard commissioned officers, except flag officers, are evaluated periodically.

2. Responsibilities. The Reported-on Officer:

- a. Learns the intent and procedures of the OES and identifies the members of the rating chain from the published list.
- b. Requests an appointment with the Supervisor, to occur not later than 21 days before the beginning of each reporting period, if clarification of duties and areas of emphasis is needed. This information may be delineated on the optional OSF worksheet or other format as specified by the Supervisor. A meeting shall be requested not later than seven days after reporting aboard a new unit.
- c. As necessary, seeks performance feedback from the Supervisor during the period.
- d. Prepares OER Section 1, Administrative Data, and Section 13, Return Address (**found on page 4 of the OER form**), and forwards the OER with proposed OER attachments to the Supervisor not later than 21 days before the end of the reporting period.
- e. May submit to the Supervisor not later than 21 days before the end of the reporting period a listing of significant achievements or aspects of performance which occurred during the period. Submission is at the discretion of the Reported-on Officer, unless directed by the Supervisor. The optional OSF worksheet may be used. Supplemental information may be submitted through the end of the reporting period.
- f. Notifies the Supervisor not later than 21 days before the end of the reporting period if the Reported-on Officer desires an end-of period conference.
- g. Informs **Commander (CGPC-rpm) or** Commander, (CGPC-opm-3) directly by written communication (e.g., Rapidraft Letter, E-mail) if the official copy of the OER has not been received 90 days after the end of the reporting period. The correspondence shall include a return address, phone number, period of report, and rating chain names with phone numbers.
- h. Ensures that all days of commissioned service are covered by OERs. If an OER is missing or a gap in coverage exists, informs the appropriate rating chain. The rating chain shall take necessary action to correct the discrepancy.
- i. Ensures that other than Coast Guard rating officials are provided a copy of these instructions, appropriate forms, and other literature provided by Commander, (CGPC-opm) **or Commander, (CGPC-rpm)**.

- j. Reviews  **COMDTINST 1401.4 (series)**, COMDTINST 1401.5 (series) and COMDTINST M1500.10 (series) and manages performance to ensure that OERs are not delayed when eligible for promotion or applying for advanced training.
 - k. Assumes ultimate responsibility for managing own performance, notwithstanding the responsibilities assigned to others in the rating chain. This includes ensuring performance feedback is thorough, and that OERs and associated documentation are timely and accurate.
3. Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade). All Reported-on Officers in these grades must request initial and end-of-period meetings with their Supervisors and must submit a summary of achievements and other aspects of performance prescribed in subparagraphs b., e., and f. above. In cases of geographic separation, telephone or written exchange of information may suffice.

10.A.2.d. Supervisor

1. Designation.

- a. Normally the individual to whom the Reported-on Officer answers on a daily or frequent basis and from whom the Reported-on Officer receives the majority of direction and requirements.
- b. Coast Guard officers, officers of other U.S. Armed Forces, officers of Foreign Armed Services (who serve in a supervisory capacity for the Reported-on Officer), U.S. Public Health Service officers, and U.S. government civilian employees may serve as Supervisors. **The supervisor of a reserve officer may be either an active duty or reserve officer or individual stated above. If the Supervisor is not a Coast Guard employee, specify which branch of service (i.e. USN, USA, USAF, DOD) in section 6a. of the OER Form.**
- c. The Supervisor will normally be senior to the Reported-on Officer. However, in appropriate situations, the Supervisor may be designated, regardless of grade relative to the Reported-on Officer.
- d. When an officer responds to more than a single individual for different functions, the commanding officer shall appoint one individual to the position of Supervisor (to whom all secondary supervisors will provide evaluation input).
- e. When a situation exists which requires concurrent reports, dual supervision may also exist. In such instances, different Supervisors may be appointed for each rating chain.

2. Responsibilities. The Supervisor:

- a. Evaluates the performance of the Reported-on Officer in the execution of duties.
- b. Provides direction and guidance to the Reported-on Officer regarding specific duties and responsibilities.
- c. Discusses at the beginning of the period, upon request, or when deemed necessary, the Reported-on Officer's duties and areas of emphasis. The optional OSF worksheet, or other format specified by the Supervisor, may be used as an aid.
- d. Encourages the use of the optional OSF worksheet, or other convenient means, to note important aspects of the Reported-on Officer's performance during the reporting period. Significant events, problems, achievements, failures, or personal qualities should be noted.
- e. Provides performance feedback to the Reported-on Officer upon that officer's request during the period or at such other times as the Supervisor deems appropriate.
- f. Counsels the Reported-on Officer at the end of the reporting period if requested, or when deemed appropriate, regarding observed performance. Discusses duties and responsibilities for the subsequent reporting period and makes suggestions for improvement and development.
- g. Finalizes the optional OSF worksheet, if used; ➡ [Articles 10.A.6.d. and e.](#)
- h. Prepares the Supervisor's sections (2-6) of the OER; ➡ [Article 10.A.4.c](#)
- i. Initiates an OER if the Reported-on Officer is unavailable, unable, or unwilling to perform in a timely manner. Forwards the OER, the OSF worksheet (if used), OER attachments, and any other relevant performance information to the Reporting Officer not later than 10 days after the end of the reporting period.
- j. Provides the new Supervisor with a draft of OER sections (3-6) when the Supervisor changes during a reporting period. The draft may be handwritten and shall include marks and comments (**bullet statements are acceptable**) for the period of observation. It shall be prepared and signed by the departing Supervisor prior to departing.

3. Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade). Supervisors shall conduct beginning and end-of-period meetings and are required to maintain a record of significant performance related events for all Reported-on Officers in these grades as prescribed in c., d., and f. above. In cases of geographic separation, telephone or written exchange of information may suffice.

10.A.2.e. Reporting Officer

1. Designation.



- a. The Reporting Officer is normally the supervisor of the Supervisor.
- b. Coast Guard officers, officers of other U.S. Armed Forces, officers of Foreign Armed Services, U.S. Public Health Service officers, and U.S. government civilian employees may serve as Reporting Officers. The reporting officer of a reserve officer may be either an active duty or reserve officer or individual stated above. If Reporting Officer is not a Coast Guard employee, specify which branch of service (i.e. USN, USA, USAF, DOD) in section 11a. of the OER Form.
- c. The Reporting Officer will normally be senior to the Reported-on Officer. Except for commanding officers, at least two year groups should normally separate these rating chain positions if they are of the same grade. Commander (CGPC-opm) or Commander (CGPC-rpm) will handle exceptions to this policy on a case-by-case basis.
- d. The Reporting Officer for an officer other than the commanding officer, will normally be designated no higher than the unit's commanding officer.
- e. The following officers in the grade of LT or above, or civilian members of the Coast Guard Senior Executive Service (SES), can be both Supervisor and Reporting Officer for their immediate subordinates:
 - (1) Commanding officers.
 - (2) Headquarters: assistant commandants, directors, deputy directors, office and division chiefs.
 - (3) Deputy commanders, executive officers, chiefs of staff, division and branch chiefs at:
 - (a) Area Commands.
 - (b) Maintenance and Logistics Commands.
 - (c) Districts.
 - (d) Headquarters units.

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Any exception not specifically cited herein must be authorized by Commander (CGPC-opm) or Commander (CGPC-rpm). See paragraph j. below on Reporting Officers for captain evaluations.

- f. The Headquarters program manager having technical responsibility for the unit will be the Reporting Officer for commanding officers of Headquarters units.
- g. The Reporting Officer for an officer assigned to another Service's staff or mission will be the commanding officer or senior staff officer to whom the Reported-on Officer is assigned.
- h. The Reporting Officer of officers under direct supervision of civilian employees outside the Coast Guard but within the Department of Transportation (DOT) shall be designated by appropriate DOT directive.
- i. The Headquarters program manager who exercises technical responsibility for the program will be the Reporting Officer for officers assigned to duty in civilian agencies other than DOT or in liaison service with other governments.
- j. The Reporting Officer for **all** captains must be a flag officer or a civilian member of the Coast Guard Senior Executive Service (SES). This requirement is not mandatory for assignments outside the Coast Guard.

2. Responsibilities. The Reporting Officer:

- a. Bases evaluation on direct observation, the OSF or other information provided by the Supervisor, and other reliable reports and records.
- b. Describes the demonstrated leadership ability and the overall potential of the Reported-on Officer for promotion and special assignment such as command. Prepares Reporting Officer sections of the OER;  Article 10.A.4.c.
- c. Ensures the Supervisor fully meets responsibilities for administration of the OES. Reporting Officers are expected to hold designated Supervisors accountable for timely and accurate evaluations. The Reporting Officer shall return a report for correction or reconsideration, if the Supervisor's submission is found inconsistent with actual performance or unsubstantiated by narrative comments. The Reporting Officer may not direct that an evaluation mark or comment be changed (unless the comment is prohibited under  Article 10.A.4.f.).
- d. Forwards the completed OER to the Reviewer; returns the OSF, if used, to the Reported-on Officer.

- e. Initiates an OER if the Supervisor does not perform in a timely manner. Ensures the OER is forwarded to the Reviewer not later than 30 days after the end of the reporting period.
- f. Provides performance feedback to the Reported-on Officer as appropriate.
- g. If the Reporting Officer changes and a complete OER is not submitted, the departing Reporting Officer shall provide the new Reporting Officer a draft of the applicable OER sections. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation, prepared and signed by the departing Reporting Officer;
☞ Article 10.A.3.a.
- h. An outgoing Reporting Officer shall provide a written report to the new Reporting Officer listing those officers for whom the outgoing Reporting Officer is preparing complete OERs and for whom signed OER drafts have been provided.



10.A.2.f. Reviewer

1. Designation.

- a. The Reviewer is normally the Supervisor of the Reporting Officer. While the Supervisor and Reporting Officer are specific individuals, the Reviewer is a position **designated by competent authority, which in certain circumstances may be junior to the Reporting Officer**. The officer occupying that position has a definite OES administrative function and may perform an evaluative function.
- b. Only Coast Guard commissioned officers, the USPHS flag officer serving as Director of Health and Safety, Commandant (G-WK), or Coast Guard SES members, may serve as Reviewer.
- c. A commanding officer may serve as Reviewer for a Reported-on Officer if that commanding officer is not otherwise in the Reported-on Officer's rating chain. (For any officer at a major command whose position is lower than the department head level, the rating chain should be structured so that the Reviewer is no higher than the commanding officer.) **In certain situations (i.e., CO on extended TAD), Executive Officers and Deputy Commanders serving in an "Acting" capacity may sign as reviewer if not otherwise in the rating chain. "For" signatures are not authorized under any circumstance.**

- d. Flag officers shall serve as Reviewers on those reports for which they are Reporting Officers. Civilian members of the Senior Executive Service (SES) may serve as Reviewers on those reports for which they are Reporting Officers. Only flag officers or SES members may serve as Reviewers on OERs for which they have also been Reporting Officers. When a flag officer or SES member serves as both Supervisor and Reporting Officer on the same OER, the following will serve as Reviewer:

Supervisor/Reporting Officer	Reviewer
Headquarters Assistant Commandant	Chief of Staff
Area Commander	Vice Commandant
MLC Commander	Area Commander
District Commander	Area Commander
All Others	Vice Commandant

- e. No one may serve as Supervisor, Reporting Officer, and Reviewer on the same OER except for the Commandant (G-C); and Commandant (G-L); the latter may sign as Supervisor, Reporting Officer, and Reviewer for the OER of the Coast Guard's Chief Trial Judge.
- f. The responsible Headquarters program manager will be the Reviewer for reports of officers assigned to other Services or agencies as liaison officers. If no appropriate program manager is obvious, Commander (CGPC-opm) or Commander (CGPC-rpm) will identify, or act, as a Reviewer.
- g. The Reviewer of a Captain's OER must be a flag officer or Coast Guard SES member except in the case of captains assigned to Senior Service Schools, in which case the Reviewer is the appropriate program manager.
2. Responsibilities. The Reviewer:
- a. Ensures the OER reflects a reasonably consistent picture of the Reported-on Officer's performance and potential.
- b. Adds comments as necessary, using form CG-5315 (series), that further address the performance and/or potential of the Reported-on Officer **not otherwise provided by the Supervisor or Reporting Officer**. For any officer whose Reporting Officer is not a Coast Guard commissioned officer, member of the Coast Guard Senior Executive Service (SES), or a USPHS flag officer serving with the Coast Guard, Commandant (G-WK), the Reviewer shall describe the officer's "Potential" and include an additional "Comparison Scale" or "Rating Scale" mark. The comparison scale is not to be completed unless the Reviewer comments are mandatory. Local reproductions of form CG-5315 may be used;  Article 10.A.4.d. for the format for Reviewer comments **and**  **Article 10.A.4.c.11.g. for circumstances when Reviewer comments are mandatory.**

- c. Ensures the Supervisor and the Reporting Officer have adequately executed their responsibilities under the OES. The Reviewer shall return an OER to the Reporting Officer to correct errors, omissions, or inconsistencies between the numerical evaluation and written comments. However, the Reviewer may not direct in what manner an evaluation mark or comment be changed (unless the comment is prohibited under [Article 10.A.4.f.](#)).
- d. Counsels Reporting Officers whose evaluation habits deviate significantly from the prescribed procedures. Deficiencies in OES performance on the part of Reporting Officers and Supervisors should be noted for performance feedback and considered in the respective officers' OERs.
- e. Expedites the reviewed report in a reasonable time to permit the OER Administrator to ensure the OER is received by Commander, (CGPC-opm-3) or **Commander, (CGPC-rpm)** 45 days after the end of the reporting period.
- f. Ensures an OER returned by Commander, (CGPC-opm-3) or **Commander, (CGPC-rpm)** is forwarded to the responsible Reporting Officer for timely correction.

10.A.2.g. Rating Chain Exceptions

- 1. In instances where a Supervisor, Reporting Officer, or Reviewer is unavailable or disqualified to carry out their rating chain responsibilities, the commanding officer or the next senior officer in the chain of command shall designate an appropriate substitute who is capable of evaluating the Reported-on Officer. Other members in the rating chain may be adjusted and designated, as appropriate. Commander, (CGPC-opm-3) or **Commander, (CGPC-rpm)** shall be advised in writing of the designation(s). The timing of the substitution may preclude full use of the OSF; however, that fact alone does not invalidate the OER.
- 2. As used within this subparagraph:
 - a. "Unavailable" includes illness, injury, death, prolonged absence, transfer, separation from the Service, retirement, or any other situation which prevents or substantially hinders the Supervisor, Reporting Officer, or Reviewer from properly carrying out their rating chain responsibilities.
 - b. "Disqualified" includes relief for cause due to misconduct or unsatisfactory performance, being an interested party to an investigation or court of inquiry, or any other situation in which a personal interest or conflict on the part of the Supervisor, Reporting Officer, or Reviewer raises a substantial question as to whether the Reported-on Officer will receive a fair, accurate evaluation.
 - c. If not already determined by the commanding officer, it is incumbent on the Reported-on Officer to identify to the next senior officer in the chain-of-command that an exception to the designated rating chain may exist. This

issue should be raised by the Reported-on Officer during the reporting period or within 30 days after the end of the reporting period.

10.A.2.h. OER Administrator


1. Designation:

STAFF/UNIT TYPE	OER ADMINISTRATOR
Headquarters	Headquarters Support Command
Atlantic Area Staff and Units	Chief, Administration Staff
Pacific Area Staff	Chief, Administration Staff
Pacific Area Units, if P or Pcs in rating chain	Chief, Administration Staff
Pacific Area Units, if P or Pcs <u>not</u> in rating chain	Chief, MLC Personnel Division
MLC Staff and Units	Chief, MLC Personnel Division
District Staff and Units	Chief, Administration Division
Headquarters Units	Unit Administrative Division Officer
Administratively Assigned (ADASGN)	Reporting Officer's OER Administrator


- a. For all OERs that must be forwarded to Headquarters for Reviewer action, the Reporting Officer's OER Administrator will perform the duties of OER Administrator.
- b. For officers assigned to other Armed Forces, the OER Administrator will be the staff or unit having ADASGN authority.

2. Responsibilities. The OER Administrator:

- a. Ensures timely OER submission for those officers under their administrative jurisdiction for any part of a reporting period. A tracking system is encouraged. The OER Administrator shall ensure that **reserve OERs (original and two copies) are received by Commander, (CGPC-rpm) and active duty OERs (original and one copy) are received by Commander, (CGPC-opm-3) not later than 45 days after the end of reporting periods.**
- b. Ensures the rating chain is cognizant of **Inactive Duty Reserve Boards, COMDTINST 1401.4 (series) and Schedule of Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).** The OER Administrator shall establish a system to ensure that OERs for officers eligible for promotion and panel action are not delayed, and arrive at Commander, (CGPC-opm-3) **or Commander, (CGPC-rpm)** in time to accomplish a thorough quality review.
- c. Ensures completeness and accuracy of OERs. OER Administrators shall maintain a system which verifies that OERs have accounted for all days. Ensure that the first report from a new duty station accounts for all days, including departure from a previous unit.

- d. Makes minor administrative corrections without returning an OER to the rating chain.
- e. Conducts an administrative review of the OER. However, the OER Administrator may return an OER to the Reviewer when it contains substantive error;  Article 10.A.4.f.

10.A.2.i. Commander, Coast Guard Personnel Command

1. Designation. Commander, Coast Guard Personnel Command has overall responsibilities for the OES. Administrative servicing of OERs is accomplished by Commander (CGPC-rpm) or Commander (CGPC-opm-3). Servicing of an officer's performance record is accomplished by Commander (CGPC-adm-3).
2. Responsibilities. Reserve Personnel Management Division (CGPC-rpm) or Officer Evaluations Branch (CGPC-opm-3):
 - a. Processes OERs into the Personnel Decision System (PDS), an automated tracking system. Ensures that all OERs go through a quality review.
 - b. Corrects OERs containing minor administrative errors.
 - c. Provides final quality control review of OERs containing substantive errors, including "restricted" remarks as outlined in  Article 10.A.4.f. Normally, the appropriate member of the original rating chain will return these OERs to the Reviewer for correction or redaction. However, in certain situations, returning an OER through the rating chain could lead to unacceptable delays and prejudice a Reported-on Officer who is being considered by a board or panel. In order to achieve a balance between accuracy and timeliness, certain corrective measures may be taken to expedite validation of OERs, Reviewer comments, OER Replies, and Addenda.
 - d. Returns the official (validated) copy of the OER to the Reported-on Officer when the original OER is filed in the officer's record. This usually occurs within 45 days after receipt of the OER at Commander (CGPC-rpm) or Commander (CGPC-opm-3). An official (validated) copy of reserve OERs are sent to the Integrated Support Command (to be used for assignment purposes only).
 - e. Provides Reporting Officers, upon request, their historical comparison rating pattern.
 - f. Develops and implements system changes as necessary to maintain a healthy system.
 - g. Maintains all applicable instructions and forms and recommends policy governing the OES.

- h. Responds to individual and command requests related to OES policy.
 - i. Provides training on the OES, subject to resource availability.
 - j. Conducts the required training for civilian employees assigned rating chain responsibilities.
3. Responsibilities. Records Branch (CGPC-adm-3):
- a. Maintains officer records system.
 - b. Responds to individual inquiries and requests related to those records, including missing copies of OERs.

10.A.3. SUBMISSION SCHEDULE



The intent of the submission schedule is for officers with a biennial, annual or semiannual reporting period to be evaluated as closely to those frequencies as possible. While every effort has been made to accommodate possible deviations to the schedule, unusual circumstances may dictate the submission of reports, or not allow their submission, which may be contrary to the intent of the OES.

10.A.3.a. Regular OERs

1. Biennial (on even numbered years), annual or semiannual (Figure 10.A.1.) as of the last day of the month as follows:

Grade	ADPL	IDPL
Captain	April	April (Annual)
Commander	March	March (Biennial)
Lieutenant Commander	April	April (Biennial)
Lieutenant	May	May (Biennial)
Lieutenant (Junior Grade)	January and July (In zone/above zone promotion board eligible candidates due 30 June)	July (Annual)
Ensign	March and September	March (Annual)
Chief Warrant Officer (W4)	April	April (Biennial)
Chief Warrant Officer (W3)	July	July (Biennial)
Chief Warrant Officer (W2)	June	June (Biennial)

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- a. A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports or 12 months for semiannual reports.
- b. Annual or semiannual OER submission is optional (waivers not required) if:
 - (1) A regular OER (or a special OER that counts for continuity) was submitted within **182** days prior to the scheduled submission date **for annual reports or 92 days for semiannual reports.**
 - (2) A regular OER will be submitted within the **182 days following** the scheduled due date **for annual reports or 92 days for semiannual reports.** Exception: Those officers above zone, and in zone, for promotion as specified by ALCGOFF promulgated by Commander, (CGPC-opm) shall not delay their regular annual or semiannual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only. For officers who meet this criteria, a waiver must be obtained as provided in  Articles 10.A.3.a.5.b. and 10.A.3.b.
 - (3) The Reported-on Officer under Permanent Change of Station (PCS) orders and has been observed at the new unit for less than **120** days. The observations shall be recorded in the next regular OER. (NOTE: The term “observed,” for the purpose of this paragraph only, means on-the-job time, excluding travel, temporary duty not performed in the execution of the officer’s normal duties, leave, rating chain transitions, and hospitalization.)
- c. Reserve biennial or annual OER submission is optional (waivers not required) if:
 - (1) A regular OER (or a special or ADSW OER which counts for continuity) was submitted within 6 months prior to the scheduled submission date.
 - (2) A regular OER will be submitted within the following 6 months of the scheduled due date. Exception: Those officers above and in zone for promotion as specified by ALCGRSV promulgated by Commander, (CGPC-rpm) shall not delay their biennial or annual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only.  Article 10.A.3.a.5.b. and Article 10.a.3.b.
 - (3) The Reported-on Officer under PCS orders has been observed at the new unit for less than 6 months. The observations shall be recorded in the next regular OER.

OER FOR ANNUAL/SEMIANNUAL SUBMISSION

10.A.3.a(1)

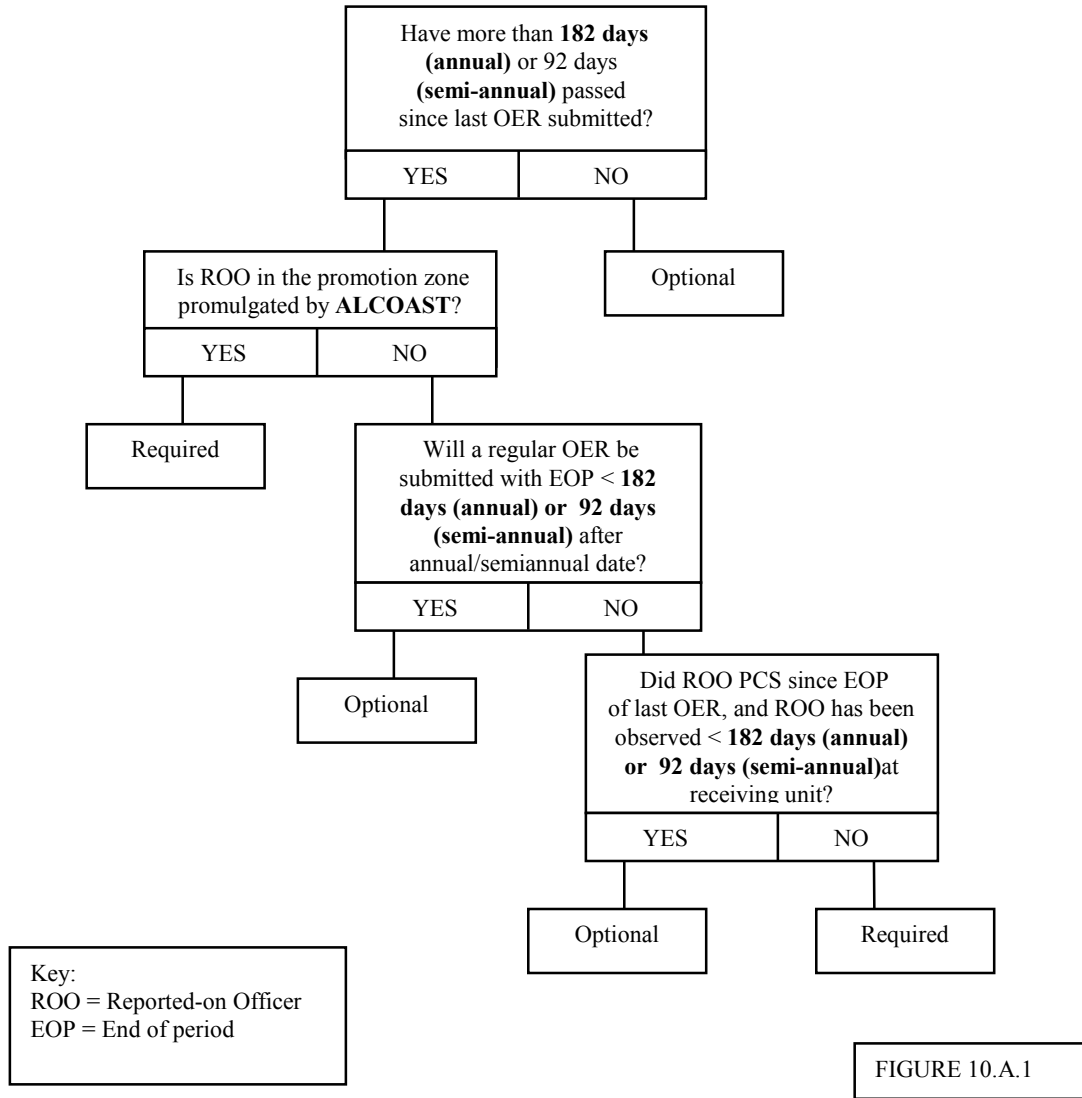
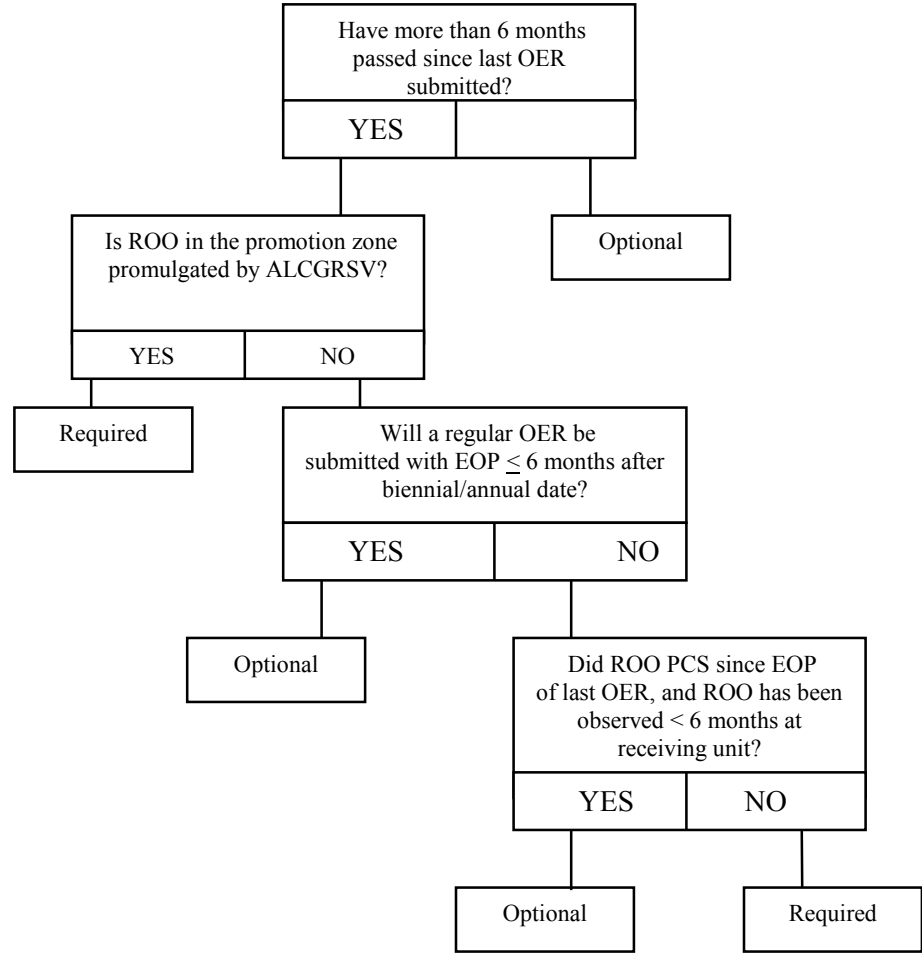


FIGURE 10.A.1

RESERVE OER FOR BIENNIAL/ANNUAL SUBMISSION

10.A.3.a.(1)



Key:
ROO = Reported-on Officer
EOP = End of period

FIGURE 10.A.1 RESERVE

2. Detachment or change of the Reporting Officer (Figure 10.A.2.):

- a. OERs for officers on a biennial submission schedule are required if more than 12 months have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- b. OERs for officers on an annual submission schedule are required if more than six months (**i.e., 182 days**) have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- c. OERs for officers on a semiannual submission schedule are required if more than **three** months (**i.e., 92 days**) have elapsed since the ending date of the last regular OER.
- d. OER submission is optional in other situations.

OER FOR DETACHMENT OR CHANGE OF REPORTING OFFICER

10.A.3.a(2)

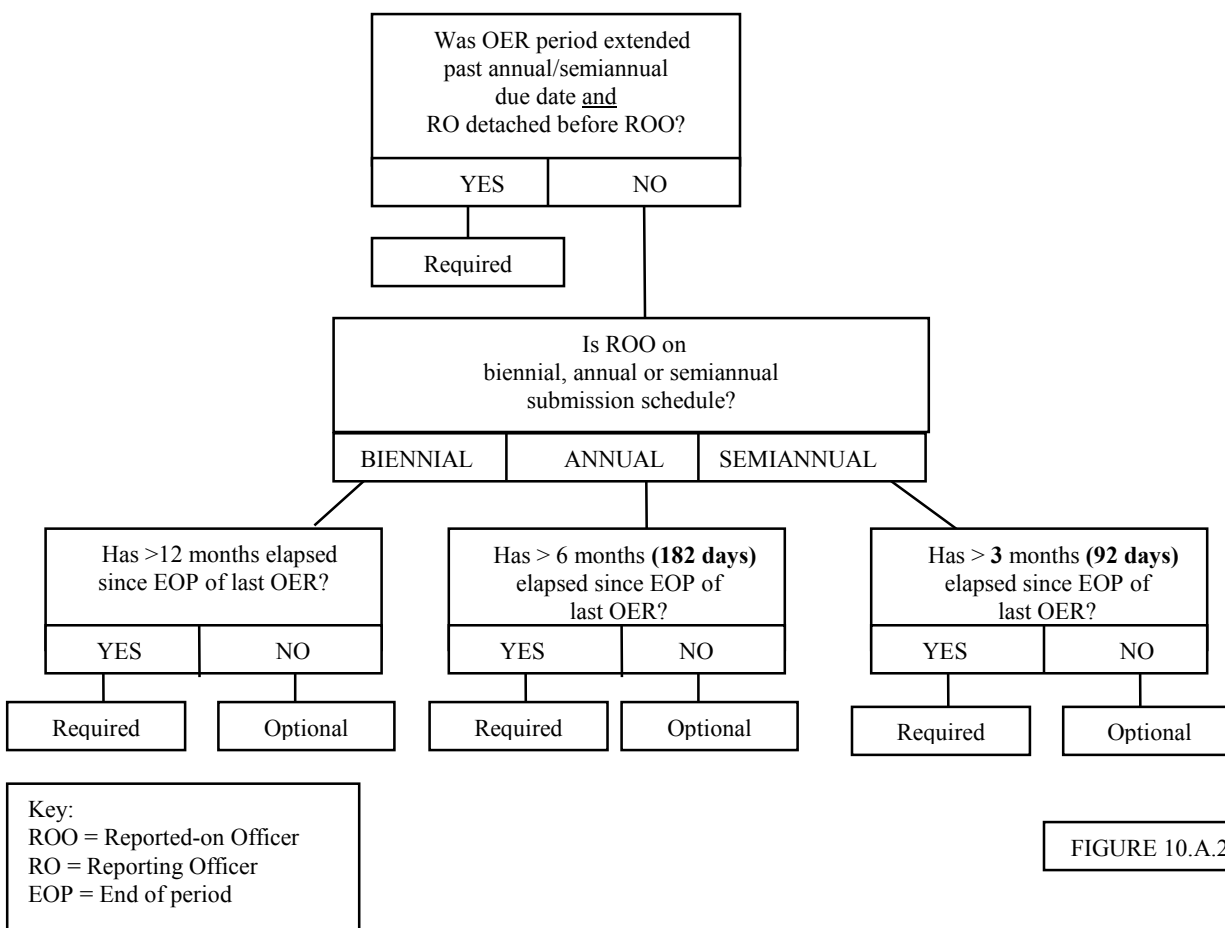
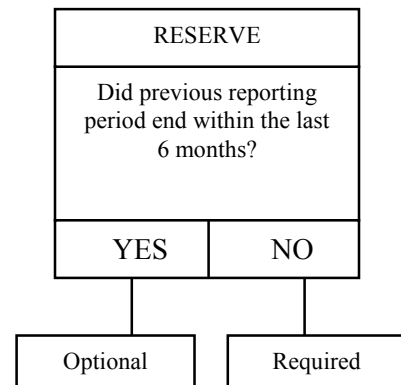
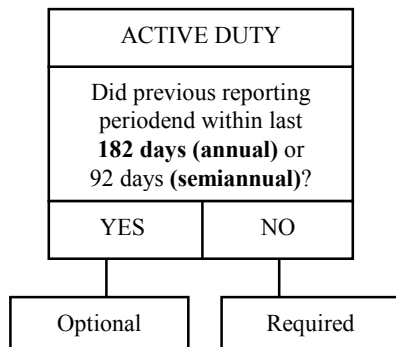


FIGURE 10.A.2

3. Detachment on PCS orders, or separation from the Service of the Reported-on Officer (Figure 10.A.3.):
 - a. OER submission is optional for PCS detachment if the previous regular reporting period ended, or the officer was commissioned, within the last 92 days **for officers with semiannual submission schedules, 182 days for officers with annual submission schedules, or** the last 6 months for reserve officers. The days between the end of the previous regular OER and the detachment date (or from the date of commissioning through the detachment date) may be reflected as “Days Not Observed, Other” on the first OER from the next unit, with a short explanation in Section 2 (e.g., Detached USCGC DAUNTLESS on 97 01 15).
 - b. For officers separating from the Service, the period of the report shall end on the final day of active service, including days on terminal leave.

OER FOR DETACHMENT OF REPORTED-ON OFFICER

10.A.3.a(3)




Key:
ROO = Reported-on Officer

Note: For officers separating from the service, the reporting period shall end on the final day of active service, including days on terminal leave.

FIGURE 10.A.3

4. Promotion of Officers (Figure 10.A.4.):

- a. **Captains selected for promotion to flag grade shall, with the concurrence of their rating chain, submit an OER for continuity purposes only to coincide with their promotion.**
- b. Promotion OERs **are only required** for promotion to captain **and for CWO to LT. However**, if an OER was completed within **182** days of the promotion date **for regulars or** within 6 months for reserve **officers**, the Reported-on Officer need not submit a promotion OER or a waiver request.
- c. Officers promoted to commander, or below, during a reporting period shall apply the submission criteria for the grade to which promoted to determine when their next OER is due (e.g., O-1 promoted to O-2 on 20 January shall do a 31 January O-2 semiannual OER). Promotion OERs are authorized only if this results in a period of greater than 30 months (biennial cycle), greater than 18 months (annual cycle) or greater than 12 months (semiannual cycle). Example: An O-4 promoted to O-5 during April (11 months since the last O-4 OER) who would not otherwise receive an OER until the following March, providing there are no other anticipated intervening occasions, should do a promotion OER. If the intervening occasion will occur more than 92 days after the promotion date, then  Article 10.A.3.b. applies. The Reported-on Officer's grade on the occasion of the "promotion of officer" OER is the grade prior to promotion.
- d. **Officers promoted under the CWO to Lieutenant program shall submit a promotion OER. The annual CWO report may be extended up to 182 days to coincide with the LT appointment without Commander (CGPC-opm-3) approval.**
- e. Officers who have been frocked shall follow the schedule and exceptions described above for their actual pay grade, not for the grade to which they have been frocked.

OER FOR PROMOTION OF REPORTED-ON OFFICER
10.A.3.a.(4)

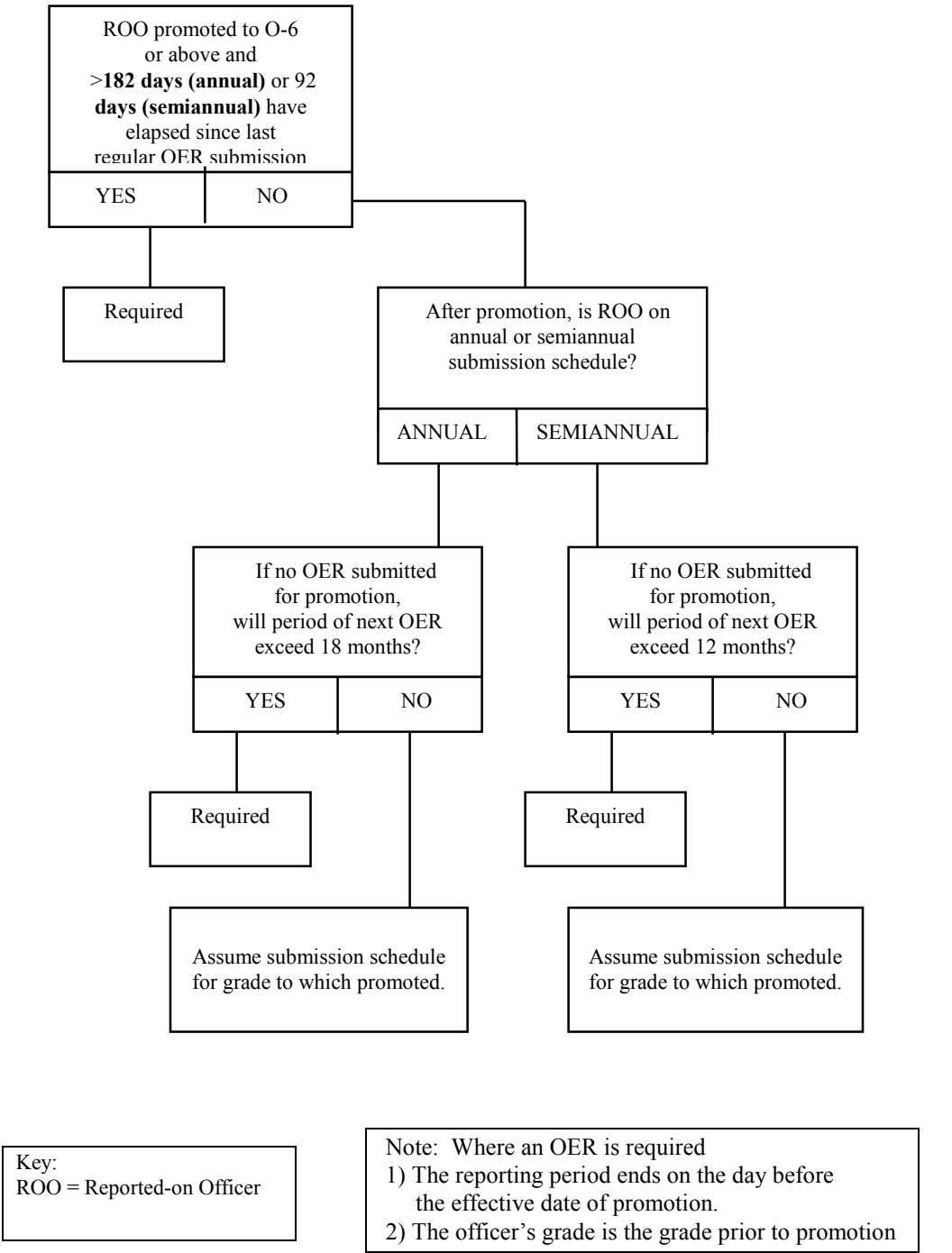
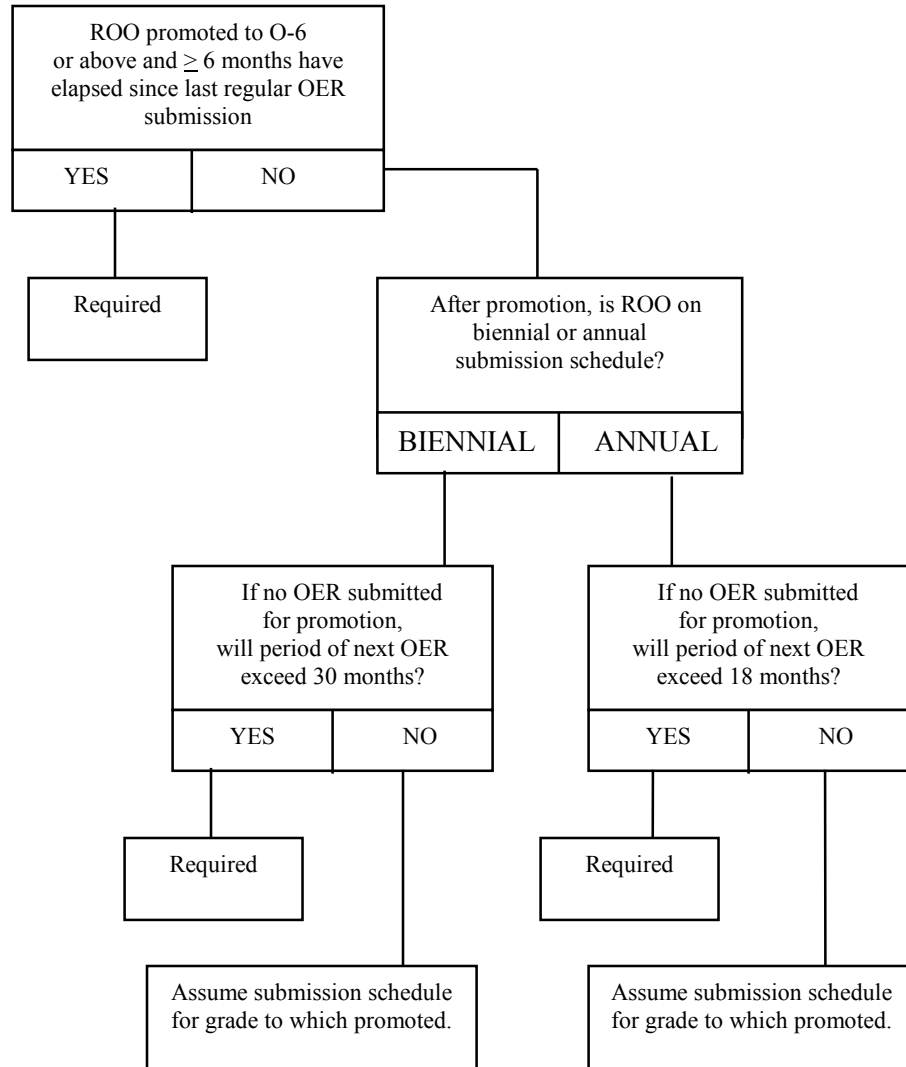


Figure 10.A.4

RESERVE OER FOR PROMOTION OF IDPL REPORTED-ON OFFICER

10.A.3.a.(4)



Key:
ROO = Reported-on Officer




Note: Where an OER is required
1) The reporting period ends on the day before
the effective date of promotion.
2) The officer's grade is the grade prior to promotion


Figure 10.A.4. Reserve


5. Reports for Continuity Purposes (☞ Figure 10.A.5) (**may be referred to as a Continuity OER**). Such reports may be submitted in cases where an OER is required by these instructions, but full documentation is impractical, impossible to obtain, or does not meet officer evaluation system goals.
 - a. Reserve. A continuity OER shall be submitted for officers assigned to the Individual Ready Reserve (IRR). The OER shall encompass the entire period the officer was in the IRR. Exception: For officers being considered for promotion during a particular year (even if Reported-on Officer is still in the IRR) a continuity OER shall be submitted and shall not be delayed past the scheduled submission date. The Integrated Support Command (ISC) should contact Commander (CGPC-rpm) to confirm dates for OER.
 - (1) The ISC (pf) branch chief shall complete or delegate the completion of OER Sections 1, 2, 13, and prepare Section 11, "Reporting Officer Authentication," for the CO's signature. The CO may delegate the Reporting Officer signature authority to the XO, Personnel Division Chief, or Force Optimization and Training Branch Chief. Section 6 (Supervisor Authentication) and Section 12 (Reviewer Authentication) are not used for IRR OERs.
 - (2) Section 2, "Description of Duties," should read "Submitted for continuity purposes only IAW ☞ Article 10.A.3.a.5.a. ROO is in IRR." The "Not Observed" circle should be filled for all marks assigned with Section 9 (Comparison Scale) left blank.

There is no requirement for officers on the Inactive Status List (ISL) to submit an OER since personnel management goals (promotion, assignment, career development, etc.) of the OES do not apply.

- b. A continuity OER may be submitted under the following conditions:
 - (1) The reporting period is 92 days or fewer or for reserve, is 6 months or fewer and the Supervisor and Reporting Officer have little or no information regarding the Reported-on Officer's performance or qualities, e.g., separating from the service; ☞ Article 10.A.3.a.
 - (2) An officer on a semiannual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 12 months of the last regular OER submission and has met the expected high standard of performance during the period. **Reviewer comments are not required for these reports.** Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

- (3) An officer on an annual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 18 months of the last regular OER submission and has met the expected high standard of performance during the period. **Reviewer comments are not required for these reports.** Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.
 - (4) An officer on a biennial schedule has an approved retirement or separation date within 30 months of the last regular OER submission and has met the expected high standard of performance during the period.
 - (5) Reserve CWO4 Only. Reserve CWO4s who have at least one fully documented OER, validated and in the Headquarters personnel record, at the CWO4 grade and continue to meet the expected high standard of performance may submit continuity OERs thereafter. In addition to procedures outlined in  Article 10.A.3.a.5.d. below, Section 2 of the OER shall include the following statements, “OER is submitted under  Article 10.A.3.a.5.b.(5). ROO concurs with decision to submit this continuity OER.” Account for IDT Drills and ADT and ADSW days in Section 2 of the OER. Exception: CWO4’s considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria shall submit fully documented OERs as occasion for report dictates.
 - (6) A waiver shall be obtained from Commander (CGPC-rpm) or Commander (CGPC-opm-3) to extend a continuity only OER upon retirement or separation (voluntary resignations and discharges only) beyond an intervening submission occasion (e.g., detachment of Reporting Officer).
- c. An OER for continuity purposes may be required by Commander (CGPC-opm) or Commander (CGPC-rpm) to implement judicial and administrative adjudications, and when directed by Commander (CGPC).
 - d. When submitting a continuity OER, the Reported-on Officer shall complete Sections 1 and 13. The designated Supervisor shall briefly describe the Reported-on Officer’s responsibilities in Section 2 and state the reason the OER is submitted for continuity purposes, e.g., Submitted IAW  Article 10.A.3.a.5., member separating on 01 July 2000. All other evaluation areas, including section 9, shall be left blank with “NOT OBSERVED” marked for each dimension. In determining whether a “continuity purposes only” OER is appropriate for officers being separated, consideration should be given to the Reported-on-Officer’s opportunity to request a reserve commission at some future date. Lack of a fully documented OER upon separation may adversely affect the Reported-on Officer’s ability to later obtain a reserve commission and compete at future reserve officer selection boards. Thus, for officers departing

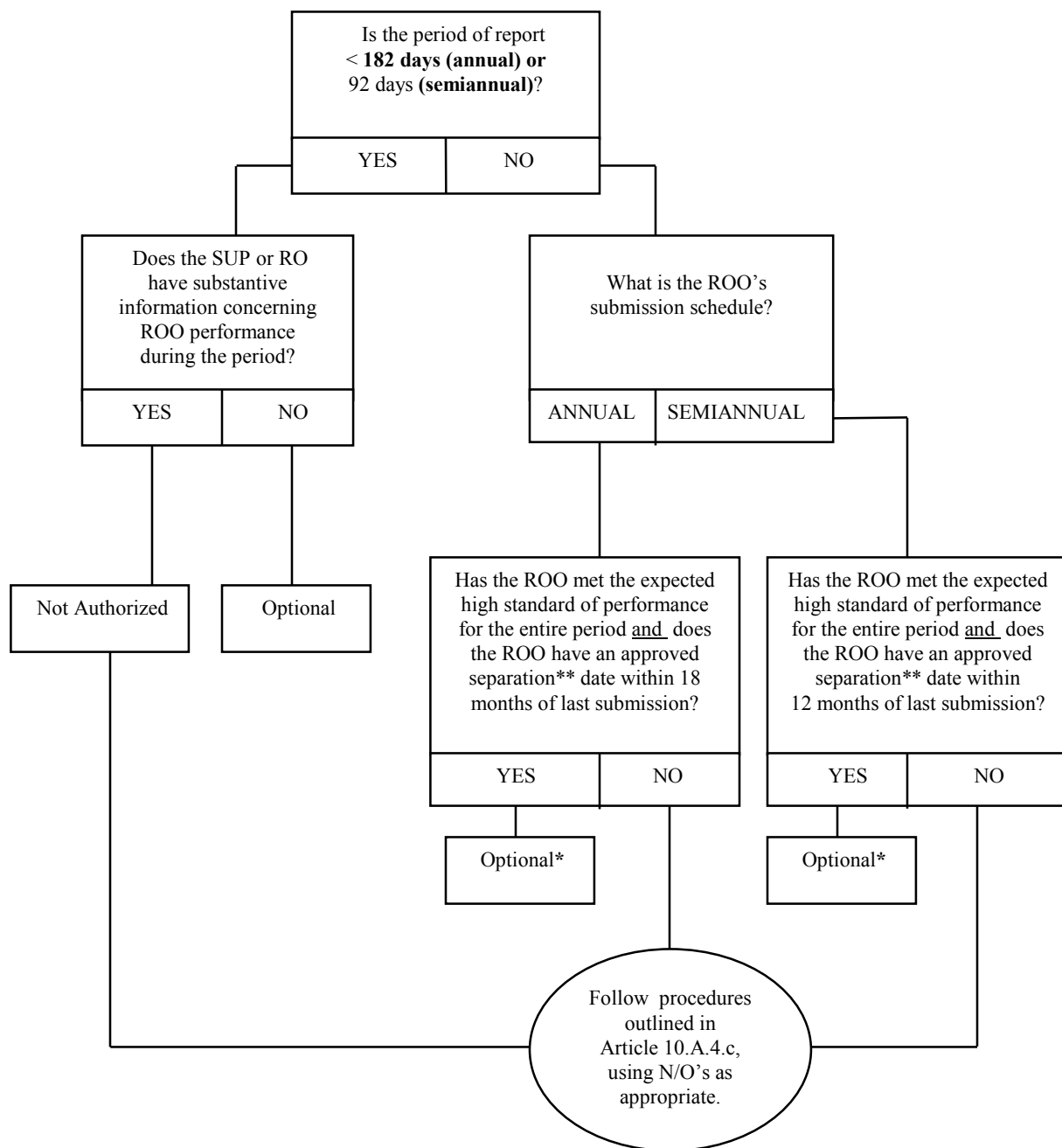
the service for reasons other than retirement, the Supervisor shall ensure that the Reported-on Officer acknowledges reviewing this paragraph. The Supervisor shall also include the following language in Section 2 of the report: “Officer states that he/ she has reviewed the provisions of  Article 10.A.3.a.5., and concurs with the decision to submit this ‘continuity purposes only’ OER.”

Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the period the OER covers,  Article 10.A.4.c. procedures apply.

- e. Requests for waivers of the time restrictions of this article should be addressed to Commander (CGPC-rpm) or Commander (CGPC-opm-3). These waivers may be appropriate if intervening occasions, e.g., change of Reporting Officer, would otherwise necessitate successive continuity reports.

OER FOR CONTINUITY PURPOSES

10.A.3.a.(5)



Key:
ROO = Reported-on Officer
SUP = Supervisor
RO = Reporting Officer
N/O = Not Observed

* In this instance, a regular OER must be completed if a continuity OER is not.
** Separations include retirement, discharge, and voluntary separation

Figure 10.A.5.

RESERVE OER FOR CONTINUITY PURPOSES

10.A.3.a.(5)

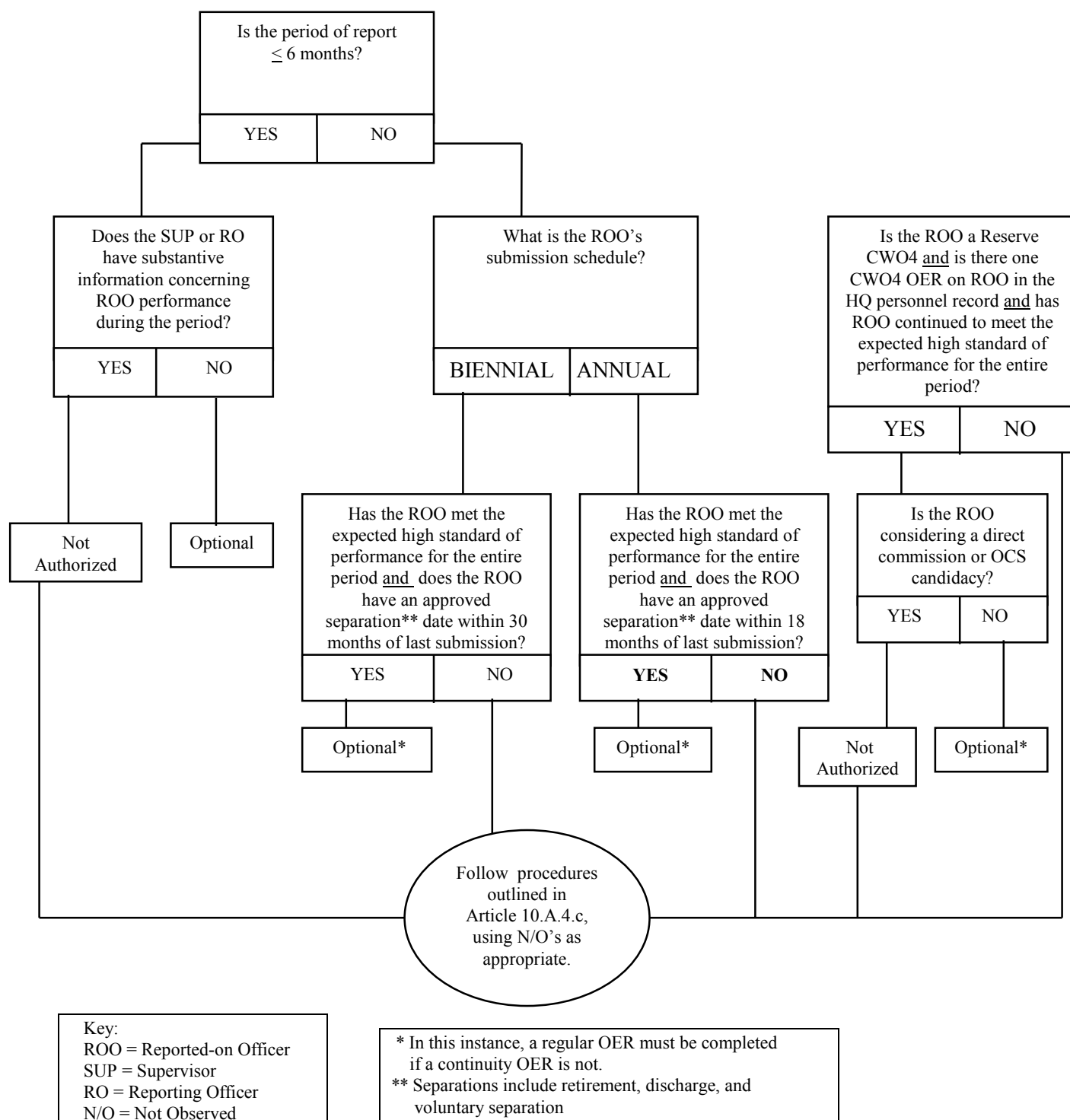


Figure 10.A.5. Reserve

10.A.3.b. OER Waivers

1. Written requests for waivers to the submission schedule (including deadlines for Derogatory OER addenda and OER replies) shall be submitted by the Reported-on Officer to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the rating chain. Waivers to the normal submission schedule will not be granted without indicating extraordinary circumstances.
2. The Reported-on Officer should identify his or her social security number, phone number, requested period of report, and specific reason(s) for waiver request. If they are in or above zone for promotion, and their intent is to submit a continuity OER upon their retirement or separation, a statement that they understand that their record will be incomplete before the board must be included. The welfare of the Reported-on Officer should be considered along with system goals when determining the appropriate time to submit an OER.

10.A.3.c. Exception OERs

1. Special OERs. The Commandant, commanding officers, higher authority within the chain of command and Reporting Officers may direct these reports. The circumstances for the Special OER must relate to one of the situations described in subsections a. through e. The authorizing article listed below should be cited in Section 2 of the OER along with a brief description of the circumstances which prompted the OER's submission. [Example: "This OER is submitted under Article 10.A.3.c.(1)(--) due to ..."]. Special OERs present unique preparation problems for members of the rating chain. Therefore, preparers are strongly encouraged to contact Commander (CGPC-rpm) or Commander (CGPC-opm-3) for guidance prior to submitting these exception reports. **IAW regular OER submission schedules, Special OERs should be completed by the rating chain and received by CGPC no later than 45 days after the end of the period.**
 - a. A special OER may be completed to document performance notably different from the previous reporting period, if deferring the report of performance until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection or reassignment. This report should not normally reflect performance that is reportable under ☞ Article 10.A.3.c.1.b. Notably changed performance is that which results in marks and comments substantially different from the previous reporting period and results in a change in the Section 9 comparison or rating scale. This OER counts for continuity.
 - b. A special OER is required after an officer is found guilty of a criminal offense and the conduct relates to the Reported-on Officer's performance or any other matter on which an officer may be evaluated, ☞ Article 8.B.4.b. A special OER is also required when an officer receives non-judicial punishment which is not subject to appeal or when the final reviewing authority's action on an investigation includes direction that a Special OER shall be prepared because the evidence established that the officer was criminally culpable. In court-martial cases, the special OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved.

- (1) The reporting period for this special report will be the time frame during which the officer's conduct prompting the report occurred. The report shall clearly state: (1) the nature of the proceeding prompting the report and the result of the proceeding, e.g. criminal conviction, non-judicial punishment, or final reviewing authority's action directing a special OER due to criminal culpability; (2) any punishment imposed as a result of criminal conviction or non-judicial punishment; and (3) other information as necessary to accurately reflect the performance being evaluated. Information about the proceeding may be included in the report even if the proceeding took place outside of the reporting period. The evaluation shall be limited to those areas affected by such conduct, since all other dimensions will be evaluated in the regular OER. Any dimension which is not evaluated shall be marked "not observed." A Section 9 comparison or rating scale mark and Section 10 comments on the officer's potential are required. This OER does NOT count for continuity.
 - (2) If the conduct resulting in the court-martial, non-judicial punishment, or investigation occurs during the current reporting period, a special report is not required if the process is completed, i.e., not subject to further review, by the time that the regular report is due to be submitted for the current period. The basis for the court-martial, non-judicial punishment, or investigation shall be reported in the regular report.
- c. Special OERs may be submitted for officers being considered by selection panels or selection boards for promotion, extension, or continuation if the period of report is at least six months and the OER will arrive at CGPC not later than 45 days before the board/panel convening date. For officers applying to postgraduate school, the period of report shall end on 31 March or 45 days before the application deadline. **Reported-on Officers (reserve only) who are on a biennial schedule and are in zone for promotion on the IDPL during an odd numbered year shall complete a Special OER for that year to document all performance since the last regular OER for board consideration. These OERs should not be delayed past the normal submission month (i.e. March for CDRs, April for LCDRs). Extensions will not be granted.**
 - d. To document significant historical performance or behavior of substance and consequence which was unknown when the regular OER was prepared and submitted. This report should not normally reflect performance reportable under Article 10.A.3.c.1.b. The special OER should be initiated by the original rating chain unless they are unavailable or disqualified. [Article 10.A.2.g.](#) applies. The Reviewer must be a flag officer. The special OER normally addresses only those performance or behavior dimensions relevant to the special OER since all other dimensions will have been properly evaluated in the regular OER. (This OER does not count for continuity.)

- e. When specifically directed by another article in this manual, e.g., [Article 4.F.6.](#), Relief for Cause. This OER may count for continuity, depending upon the circumstances which prompt its submission.
2. **Concurrent OERs.** A concurrent OER is an OER submitted in addition to a regular or special OER. The permanent unit's OER is never considered a concurrent report and should not be so identified. A concurrent report is always in addition to a regular or special OER, and thus does not count for continuity. The unit to which the Reported-on Officer is permanently attached is always responsible for ensuring that continuity is maintained with either regular or special OERs. Concurrent reports may be submitted only when the officer is:
 - a. Filling separate or distinct billets or command functions under different commanding officers.
 - b. Filling a billet for which technical control and administrative control are separated, such as senior contracting officers.
 - c. Commanding a unit for which operational control and administrative control are separated, e.g., units assigned to International Ice Patrol, Deep Freeze Operations, etc.
 - d. Commanding a unit with divided operational control.
 - e. Performing temporary assigned duty (TAD) away from a permanent station for a period of at least 60 consecutive days while being observed by a senior other than the regular Reporting Officer, e.g., senior aviator deployed aboard a Coast Guard icebreaker. In this case, the concurrent report normally will be written upon the detachment of the TAD officer and cover only the period of temporary additional duty.
 3. **Reserve. ADSW OERs (Figure 10.A.6).** These reports are Reserve-specific OERs for officers who are on Active Duty for Special Work (ADSW)-in support of the Active Component (AC) or Reserve Component (RC). The ADSW report counts for continuity. **NOTE: Integrated Support Commands (ISCs) no longer have to submit continuity OERs for individuals on ADSW assignment. Due to the nature of ADSW reports, the submission schedule and amplifying guidelines are outlined below.**
 - a. **ADSW of 6 Months or Less.** If the ADSW orders are for a period of 6 months or less, performance for the entire period of ADSW shall be included in the Reported-on Officer's next Inactive Duty Training/Active Duty for Training (IDT/ADT) biennial/annual OER. The ADSW supervisor and reporting officer should provide the IDT/ADT unit supervisor with a draft OER Form CG-5310 (series) Sections 1-11. The draft may be handwritten and shall include marks and comments (bullet

statements may be used) for the period of observation. The ADSW supervisor and reporting officer shall sign the draft OER (no reviewer authentication is required) and forward it to the IDT/ADT unit supervisor. A copy of the draft OER may be provided to the Reported-on Officer.

- (1) If the Reported-on Officer was in the Individual Ready Reserve (IRR) prior to reporting to the ADSW assignment, an ADSW OER shall be completed by the ADSW rating chain ➡ [Article 10.A.3.c.3.b.](#) for the period of ADSW only. The ISC shall submit a continuity “Not Observed” OER to account for the period prior to the ADSW assignment when Reported-on Officer was in the IRR. The continuity OER shall be submitted IAW ➡ [Article 10.A.3.a.5.a.](#)

- b. **ADSW Over 6 Months For a Rating Chain Other Than ROOs IDT/ADT Rating Chain.** If the ADSW orders are for a period exceeding six months, performance shall be documented on OER Form CG-5310 (series) *upon completion of the ADSW assignment.*

Exception: An ADSW OER is required if the Reporting Officer has changed or detached from the unit and more than six months have elapsed since the ending date of the last ADSW OER or the date reported to the ADSW assignment, whichever is later. *NOTE: If there is 6 months or less time remaining from previous ADSW OER to completion of ADSW assignment, the performance may be documented in the next regular IDT/ADT OER. ➡ [10.A.3.c.3.a.](#) However, if Reported-on Officer was in the IRR prior to ADSW assignment, an ADSW OER must be completed, regardless of time remaining, to close out the ADSW assignment.*

Exception: An ADSW OER may be submitted if the Reported-on Officer is in/above zone for promotion. Document all ADSW performance completed up to the Reported-on Officer’s regular OER submission month (i.e. April for CAPT; March for CDR).

- (1) **ADSW OERs:** Include only documentation of ADSW performance. Preparation of ADSW OERs follows guidance in ➡ [Article 10.A.4.](#) with the following clarification:

- (a) Section 1l., “Exception Report”: write or type in “ADSW”. Do not fill in any other blocks in Section 1l.; section 1k. is left blank.

- c. **ADSW Over 6 Months For ROOs Regular IDT/ADT Rating Chain.** Performance may be included in Reported-on Officer’s regular biennial/annual IDT/ADT OER or a separate ADSW OER may be submitted. Preparation guidelines in ➡ [Article 10.A.4.](#) apply. If ADSW performance is included in IDT/ADT OER:

- (1) Section 1k., “Occasion for Report” will be used. Fill in only one circle. Section 1l., “Exception Report” will be left blank.

d. **ADSW With Subsequent EAD Contract.** Reported-on Officers who are on an ADSW assignment and are immediately brought on an Extended Active Duty (EAD) contract in the same assignment may defer submitting an OER until their next regular OER submission date (following active duty submission schedule). All of the following requirements must be met in order to defer submission of OER:

- (1) There is no break in service. The EAD contract must begin the day after the ADSW assignment ends.
- (2) There is no change in the description of duties and reporting officer.
- (3) The reporting period does not extend beyond 18 months for annual reports, or 12 months for semiannual reports. (NOTE: Reported-on Officer is following active duty OER submission guidelines once on EAD contract.)

RESERVE OER FOR ACTIVE DUTY FOR SPECIAL WORK (ADSW)-IN SUPPORT OF THE ACTIVE COMPONENT (AC) OR RESERVE COMPONENT (RC)

10.A.3.c.(3)

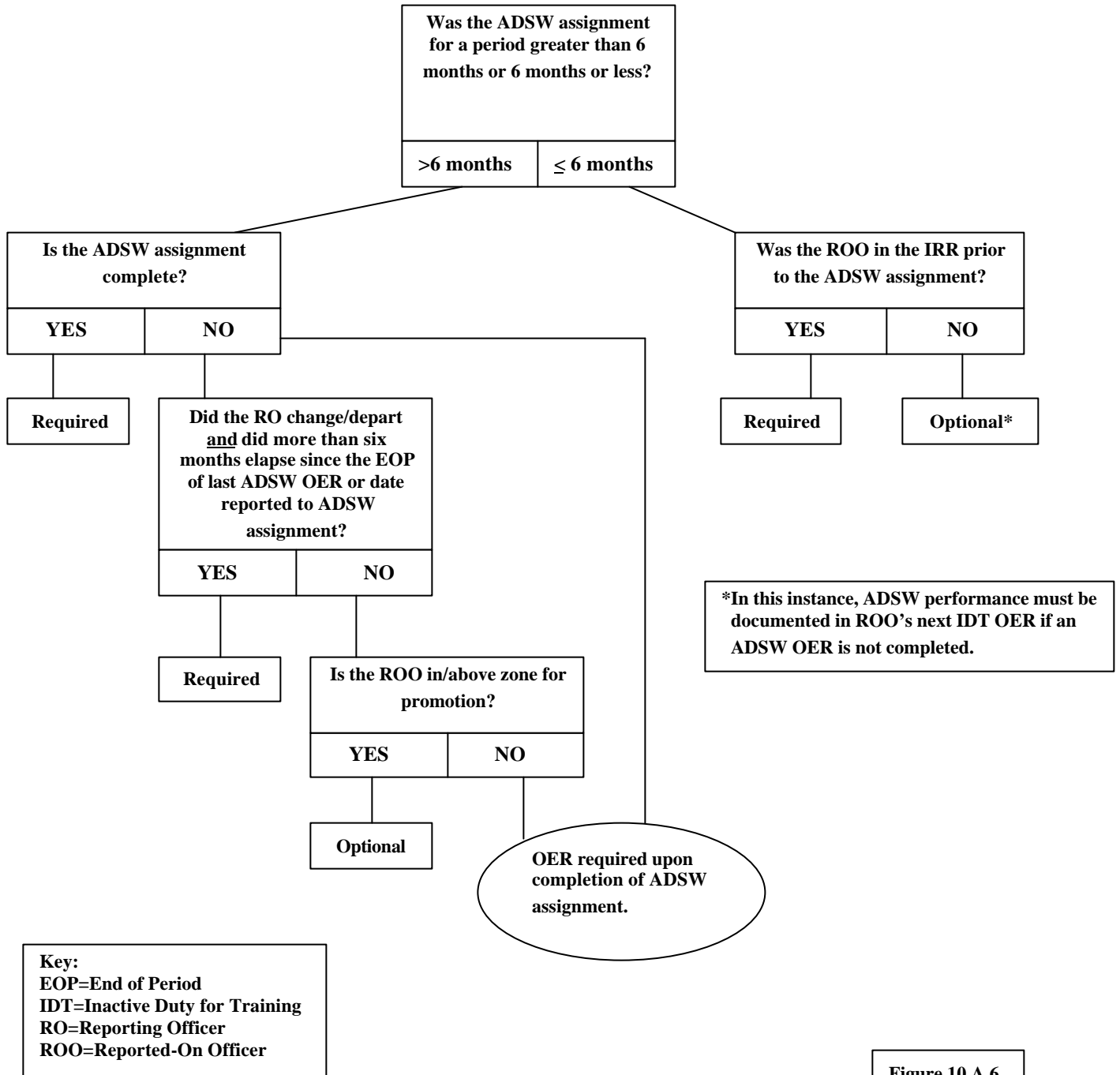


Figure 10.A.6

10.A.3.d. Evaluation of Performance while Recalled to Active Duty from Retired Status

1. Because the personnel management goals (promotion, assignment, career development) of the OES don't apply to officers who are recalled to active duty from retired status, there is no mandatory requirement to submit an OER for these officers.
2. Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the retired recall period, a regular OER may be submitted and the procedures outlined in [Article 10.A.4.c.](#) apply. Such information may be useful for future retired recall decisions regarding the officer. If the decision is made to submit a regular OER for the retired recall period, the following annotation should be made in Section 2 of the OER: "Submitted IAW PERSMAN Article 10.A.3.d."
3. If circumstances during the retired recall period warrant, a special OER may be submitted if the criteria of [Article 10.A.3.c.1.](#) are met.

10.A.4. Preparation and Processing of Evaluation Reports

10.A.4.a. General

This section describes the procedures for preparing and processing Officer Evaluation Reports (OERs). Members of the rating chain should prepare reports with care. They should ensure that comments are clear, concise, and accurate.

1. The OER is a series of forms, CG-5310, used to document Coast Guard officers' performance and potential.
2. Forward OERs to arrive at **Commander, (CGPC-rpm) or Commander (CGPC-opm-3)** not later than 45 days following the end of the reporting period.
3. OER form software will default to the desired font type and size. Commands should not try to adjust the default settings. For units that must complete OERs on non-standard terminals, only two fonts shall be used: *Courier* or *Times New Roman*. When using *Courier*, the size of type shall be no smaller than 10 point/12 pitch with not more than six lines per inch. When using *Times New Roman*, the size of type shall be 12 point with not more than five lines per inch.
4. Reporting Officers and Supervisors shall use the same type font throughout their respective sections. Particular care must be taken when adding comments after initial typing to ensure this requirement is met. Reports in all capital letters are prohibited. OER pages shall be one sided only; two-sided OERs are prohibited.
5. Other than underlining or capitalizing the primary duty in Section 2, text enhancements, e.g., underlining, boldface, all capital letters, are not allowed.

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6. Assign marks in ink. Line out and initial changed marks in ink. Reprint the OER if more than two marks are changed.
7. Acronyms which are uncommon or are specific to a particular Coast Guard program must be clearly defined. This may be effectively accomplished in Section 2 of the OER.
8. Use abbreviations in moderation and only to improve readability and efficiency of the comments. They should also be commonly understood by all Coast Guard officers, e.g., "msg" and "ltr" are common abbreviations; however, "abrvtns" is difficult to interpret.

10.A.4.b. Forms

The following forms shall be used:

Grade	Form
Captain	CG-5310 with page 3C
Commander	CG-5310 with page 3B
Lieutenant Commander	CG-5310 with page 3B
Lieutenant	CG-5310 with page 3B
Lieutenant (jg)	CG-5310 with page 3A
Ensign	CG-5310 with page 3A
Warrant Officer	CG-5310 with page 3A

10.A.4.c. Preparation

1. Section 1—Administrative Data. The Reported-on Officer shall complete all items in this Section, and Section 13 (Return Address), no later than 21 days before the end of the reporting period. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.


Items:




- a. NAME—Last and initials only. First names shall not be used.
- b. SOCIAL SECURITY NUMBER—Ensure correct.
- c. RESERVE TIME COMPLETED (IDPL officers only)—Until further notice, this section should not be used. The following information should be entered (as shown) in Block 2 as the last part of the "Description of Duties": IDT Drills Scheduled/Attended: XX/XX; ADT: XX Days; ADSW: XX Days. Enter number of drills and days even if zero. The drills/days should reflect the number completed within the period of report, NOT the number completed during the anniversary year.

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- d. GRADE—Two-character pay grade, e.g., W2, O5, as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- e. DATE OF RANK—Date of rank in all numerals, e.g., 1997/01/23, for the rank of the officer associated with the period of report.
- f. UNIT—Identification of the unit to which permanently attached, e.g., Commandant (G-LMJ) or USCGC DECISIVE (WMEC-629). For concurrent OERs, use the TAD unit name. For “ADSW” OERs use the ADSW unit name.
- g. ATU-OPFAC.
 - (1) Administrative Target Unit (ATU)—The two-digit numeric designation of the district, area, and headquarters unit to which administratively assigned, e.g., 01 for First District, 98 for Headquarters, 71 for Institute.
 - (2) Operating Facility (OPFAC)—The five-digit numeric designation of the unit to which permanently attached.
- h. DAYS NOT OBSERVED—Enter a two-digit number in all categories representing the days the Reported-on Officer was not present for duty during the evaluation period. Enter as follows:

LV—The number of days leave taken during the evaluation period (**i.e., sick leave, regular leave**).

Other—TAD not performed in the execution of the officer’s normal duties. Hospitalization, PCS, including travel, TEMDU, and proceed time, etc.;  Article 10.A.3.a.
- i. DATE REPORTED—Indicate the actual date of reporting to the unit specified in f. as shown by PMIS data entry. Enter date in the same format as e. above. NOTE: Intra-unit PCS transfers constitute a change in Date Reported Present Unit.
- j. PERIOD OF REPORT—The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.) Elapsed time between permanent or temporary duty stations (in transit, on leave, hospitalized, etc.) shall be accounted for in the next period of report and noted in section 1.h., Days Not Observed. Enter dates in the same format as e. above. “ADSW” OERs shall include only dates while on ADSW.

- k. OCCASION FOR REGULAR REPORT— [Article 10.A.3.a](#). Mark only one box for the occasion which has prompted the OER submission. The occasion is dictated by the end-of-period date in Block 1.j. Leave blank if the report is a Special, Concurrent **or ADSW** OER.
 - l. EXCEPTION REPORT— [Article 10.A.3.c](#). Mark special or concurrent, but not both, if the report is not a regular OER. **Write in “ADSW” if OER documents only ADSW performance.**
 - m. DATE SUBMITTED—The date the Reported-on Officer submits the OER form to the Supervisor. Enter dates in the same format as e. above.
2. Section 2, Description of Duties.
- a. The Supervisor shall write a summary of the most important aspects of Reported-on Officer’s job. Primary duties, collateral duties, special projects, key processes, and customer and supplier identities should be included. Use a common sense approach to describe the most important duties in a manner that will be understandable to a reader unfamiliar with the officer’s job.
 - b. Discuss all major duties assigned to the Reported-on Officer during the reporting period. Underline, or type in all capital letters, the officer’s primary duty title. If a Reported-on Officer serves at any time during the reporting period under the direction of an officer not his or her primary Supervisor, the Supervisor should attempt to obtain from the secondary supervisor a description of the Reported-on Officer’s duties while working for the secondary supervisor (e.g., TAD for less than 60 days; **ADSW for 6 months or less**). A concurrent OER should normally be completed for TAD greater than 60 days. **An “ADSW” OER should normally be completed for ADSW greater than 6 months.** The primary Supervisor should note these duties, citing the unit and inclusive dates.
 - c. Describe duties and responsibilities to provide an overall understanding of the job. Also note conditions peculiar to the assignment. Include number of people supervised, funds controlled, unit operations or organizational relationships as appropriate. Define highly technical terms. Comments must be clear and concise and confined solely to the space allotted on the form.
 - d. Describe the duties and responsibilities for officers with limited opportunity to perform in accordance with  [Article 10.A.2.b](#).
 - e. Provide a brief reason for submission of Special OERs and Regular OERs submitted for continuity purposes only.

3. Section 2, Attachments.

- a. The following paragraphs address items that may or shall be listed as attachments to an OER:
 - (1) Personal military decorations issued in accordance with Section 1.A.17. of the Medals and Awards Manual, COMDTINST M1650.29, or other U.S. Armed Services equivalent may be attached to an OER for the period in which received even if the performance cited does not relate to the period. Attach a copy of the award's certificate and citation and list the description (e.g., CG Achievement Medal dated 18 January 1999) in the attachment line in section 2 of the OER.
 - (2) Copies of punitive letters of censure and copies of Court Memorandums shall be referred to and appended to the OER once the proceedings, including reviews and appeal, are completed; [Articles 10.A.3.c.](#) and [10.A.4.f.](#) A written non-punitive censure or copy thereof may not be referred to or appended to the OER ([Article 8.E.4.](#)) However, the performance which resulted in the non-punitive censure may be discussed in the OER.
- b. The Reported-on Officer, and other officers or officials outside the Reported-on Officer's normal rating chain, may submit to the Supervisor or Reporting Officer letters, certificates, citations, comments or other reliable documentation pertaining to performance of duty. Supervisors and Reporting Officers may use or cite such reports in the OER "comments" blocks, but shall not attach them to the OER.

4. Sections 3, 4, and 5.


- a. These sections are designed to measure an officer's demonstrated performance and qualities exhibited in three major evaluation areas:
 - Performance of Duties
 - Communication Skills
 - Leadership Skills


Two or more performance dimensions (rating scales) define each evaluation area. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. Supervisors must read each standard carefully. A space for supporting comments follows each set of dimensions.

- b. For each evaluation area, the Supervisor shall review the Reported-on Officer's performance and qualities observed and noted during the reporting

period. Then, for each of the performance dimensions, the Supervisor shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Supervisor shall take care to compare the officer's performance and qualities against the standards—not to other officers and not to the same officer in a previous reporting period. After determining which block best describes the Reported-on Officer's performance and qualities during the marking period, the Supervisor fills in the appropriate circle on the form in ink.

- c. Where the Supervisor has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" blocks or Section 2.
- d. In the "comments" block following each evaluation area, the Supervisor shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The Supervisor shall draw on his or her observations, those of any secondary supervisors, and other information accumulated during the reporting period.
- e. Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for below or above standard marks.
- f. When appropriate, specifically address the officer's acquisition (O1 through O4) and demonstration (all officers) of seamanship or airmanship expertise (expert skill or knowledge). The following factors should be considered: easy application of the rules of the road and Federal Aviation Regulations (FARs); understanding of, and facility with relative motion concepts; good "sea sense" and a feel for the forces acting on ships or aircraft; and the ability to translate environmental inputs and mission requirements into consistently correct control applications and leadership decisions. These are some of the factors which indicate potential for future successful operational assignments including operations officer, executive officer, and command. In short, compare and discuss the officer's critical competency requirements with regard to seamanship or airmanship.
- g. A mark of four represents the expected standard of performance. Additional specific performance observations must be included when an officer has been assigned a mark of five or six to show how they exceeded this high level of performance. Those assigned the superlative mark of seven should have specific comments demonstrating how they exceeded the six standard block.

- h. Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with  [Article 10.A.4.h](#).
 - i. All comments shall be confined to the space allotted to the Supervisor. No comments shall be continued from one comment block to another.
- 5. Section 6, Supervisor Authentication.
 - a. Block a. SIGNATURE—The Supervisor's signature verifies completion of their OES responsibilities and that comments and evaluations are correct. A typed or stamped name is required to clearly identify the Supervisor. Include Service abbreviation if other than Coast Guard.
 - b. Block b. GRADE—Two-character military pay grade, or civilian equivalent (e.g., O6, GS12).
 - c. Block c. SSN—Ensure correct.
 - d. Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Assignments Branch).
 - e. Block e. DATE—The date the Supervisor submitted the evaluation to the Reporting Officer. Enter in all numerals (e.g., 2000/04/25).
 - f. After signing the OER, the Supervisor gives it to the Reporting Officer, together with the OSF (if used), and any other authorized documentation or information.
- 6. Section 7, Reporting Officer Comments.
 - a. This section provides an opportunity for the Reporting Officer to comment on the Supervisor's evaluation. Although comments are not mandatory, Reporting Officers are encouraged to cite other information and observations they may have which would confirm or provide another perspective of the Reported-on Officer's performance and qualities demonstrated during the reporting period. By doing so, the Reporting Officer gives a more complete picture of the Reported-on Officer's capabilities.
 - b. Section 7 shall not include continuing comments from any other comment block.
- 7. Section 8.
 - a. This section measures an officer's personal and professional qualities. Each performance dimension is defined in terms of three performance standards: below standard, standard, or above standard. The standards are not the same for all forms. Reporting Officers must read each standard carefully. A space for supporting comments follows each set of dimensions.

- b. For this evaluation area, the Reporting Officer shall review the Reported-on Officer's performance and qualities observed and noted during the reporting period. Then, for each performance dimension, the Reporting Officer shall carefully read the standards and compare the Reported-on Officer's performance to the level of performance described by the standards. The Reporting Officer shall take care to compare the officer's performance and qualities against the standards - not to other officers and not to the same officer in a previous reporting period. After determining which standard best describes the Reported-on Officer's performance and qualities during the marking period, the Reporting Officer fills in the appropriate circle on the form in ink.
 - c. Where the Reporting Officer has insufficient information to provide a mark or if observations are believed inadequate to render a judgment, the "not observed" circle shall be used. The reason for the "not observed" must be briefly stated in the "comments" block.
 - d. In the "comments" block following this evaluation area, the Reporting Officer shall include comments citing specific aspects of the Reported-on Officer's performance and behavior for each mark that deviates from a four. The Reporting Officer shall draw on his or her own observations, information provided by the Supervisor, and other information accumulated during the reporting period.
 - e. Comments should amplify and be consistent with the numerical evaluations. They should identify specific strengths and weaknesses in performance. Well-written comments must be sufficiently specific to paint a succinct picture of the officer's performance and qualities which compares reasonably with the picture defined by the standards marked on the performance dimensions in the evaluation area. Mere repetition or paraphrasing of the standards is not sufficient narrative justification for marks.
 - f. Citing weaknesses does not make the OER derogatory unless the OER contains a derogatory mark in accordance with  [Article 10.A.4.h](#).
 - g. All comments shall be confined to the space allotted to the Reporting Officer. No comments shall be continued from one comment block to another.
8. Section 9, Comparison and Rating Scales.
- a. COMPARISON SCALE (W2 to O2 and O3 to O5 forms): The Reporting Officer shall fill in the circle that most closely reflects the Reporting Officer's ranking of the Reported-on Officer relative to all other officers of the same grade the Reporting Officer has known. NOTE: This section represents a relative ranking of the Reported-on Officer, not necessarily a trend of performance. Thus, from period to period, an officer could improve in performance but drop a category.

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- b. **RATING SCALE** (captain form): The Reporting Officer shall fill in the circle that most closely reflects the Reported-on Officer's performance in consideration of information contained in the OER.
- c. No specific comments are required to support the Reporting Officer's judgment in this section. However, a mark other than in the center three circles is strengthened considerably if there are comments in the report from which one could reasonably draw a conclusion why this particular officer has been identified as different from the majority of officers of this grade. A mark of "unsatisfactory" requires compliance with [Article 10.A.4.h](#).
- d. No mark need be entered if there were insufficient opportunities to make a judgment. In this case the Reporting Officer should indicate so with a short statement in Section 10.

9. Section 10, Potential.

- a. The Reporting Officer shall comment on the Reported-on Officer's potential for greater leadership roles and responsibilities in the Coast Guard. These comments shall be limited to performance or conduct demonstrated during the reporting period.
- b. Comments in this section reflect the judgment of the Reporting Officer and may include, but are not limited to, the following:
 - Qualification to assume the duties of the next grade.
 - Specialties or types of assignment, such as command, for which the Reported-on Officer is qualified or shows aptitude.
 - Recommendations for selection to a senior service school.
 - Special talents or skills (or lack of) such as military readiness and warfare skills, seamanship or airmanship, etc., as applicable.
- c. Comments shall be confined to the allotted space on the form.


10. Section 11, Reporting Officer Authentication.

- a. **Block a. SIGNATURE**—The Reporting Officer's signature verifies completion of OES responsibilities and that comments and assigned marks are correct. A typed or stamped name is required to clearly identify the Reporting Officer. Include Service abbreviation if other than Coast Guard.
- b. **Block b. GRADE**—Two-character military pay grade, or civilian equivalent (e.g., O6, GS14).

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- c. Block c. SSN—Ensure correct Employee ID Number.
- d. Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Management Branch).
- e. Block e. DATE—The date the Reporting Officer submitted the evaluation to the Reviewing Officer. Because this date indicates when OES responsibilities were completed, a date preceding the **end-of-the-period is prohibited**. Enter **date using a numeric format** (e.g., 2000/11/22).

11. Section 12, Reviewer Authentication.

- a. When adding comments, the Reviewer checks the “Comments Attached” box in Block a.
- b. Block b. SIGNATURE—The Reviewer’s signature verifies that the OER has been completed properly and in accordance with these instructions. A typed or stamped name is required to clearly identify the Reviewer.
- c. Block c. GRADE—Two-character military pay grade or civilian equivalent (e.g., O6, SES1).
- d. Block d. SSN—Ensure correct Employee ID Number.
- e. Block e. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Personnel Management Division).
- f. Block f. DATE—The date the Reviewer completed the review and forwarded the OER to the OER Administrator. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-period is **prohibited**. Enter **date using a numeric format (e.g., 2000/11/22)**.
- g. On form CG-5315 (series), the Reviewer may comment on the Reported-on Officer’s performance, qualities, potential, or value to the Coast Guard if these areas need to be expanded or explained further. Comments and a comparison/rating scale mark are required if the Reporting Officer is not a Coast Guard Officer, Coast Guard Senior Executive Service (SES) member, or the USPHS flag officer serving as Chief, Office of Health and Safety, Commandant (G-WK);  Article **10.A.2.f.2.b**. The Reviewer may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussions. Additionally, the Reviewer shall limit comments to performance or behavior observed during the reporting period and/or discussion of the Reported-on Officer’s potential.
- h. The Reviewer shall forward the completed report, together with any authorized attachments, to the appropriate OER Administrator.

12. Section 13, Return Address. The Reported-on Officer provides the home address to which the official copy of the OER will be returned when the original is filed in the officer's record. Use of this page is mandatory for return address purposes; however, the checklist is optional. If Reported-on Officer is in the process of a PCS move, the new home address may be used or the address of a relative/friend.
13. Section 14, OER Administrator Review. Use of this block by OER Administrators is optional.
14. Validation. **The validation** block on page one of the OER of the copy mailed from Commander (CGPC-rpm) or Commander (CGPC-opm-3) will be stamped:

Official Receipt Copy: Original Filed in Record

The stamp will distinguish the official copy from unofficial copies the officer may receive from the rating chain.

10.A.4.d. Format for Reviewer Comments

1. Reviewers desiring to attach comments to the OER shall restrict their comments to a maximum of one page of form CG-5315 (series) or one single-spaced page (8½" x 11") typed on one side with no enclosures. The comparison scale is not to be completed unless the Reviewer comments are mandatory ☞ Article 10.A.4.c.11.g.
2. When form CG-5315 is not used, Reviewer comments shall be formatted as follows:
 - a. NAME/RANK/SSN OF REPORTED-ON OFFICER.
 - b. PERIOD OF REPORT.
 - c. REVIEWER COMMENTS:
 - d. Add comparison or rating scale if required by ☞ Article 10.A.2.f.
 - e. Following the last line of comments the Reviewer shall sign as below:

Signature/Date
Name: Rank: (typed)
Reviewer

3. Reviewer comments should be stapled to the back of the OER.

10.A.4.e. OER Administrator

1. After the OER Administrator has processed the OER, the original and two photocopies and any authorized attachments will be mailed directly to Commander (CGPC-rpm) for reserve OERs or the original and one photocopy of the OER and any authorized attachments will be mailed directly to Commander (CGPC-opm-3) for active duty OERs to arrive not later than 45 days after the end of the reporting period; ☞ Article 10.A.2.f.
2. Mail OERs in double envelopes with the inner envelope marked “Officer Evaluation Reports - For Official Use Only,” unless mailed directly to either a rating chain member, Commander (CGPC-rpm) or Commander (CGPC-opm-3). A double envelope is required if the OER is mailed through any chain of command or via any addressee.


10.A.4.f. Restrictions

Members of the rating chain shall not:



1. Mention the officer’s conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, PRRB, CGBCMR, or any other investigation (including discrimination investigations) except as provided in ☞ Article 10.A.3.c. Referring to the fact conduct was the subject of a proceeding of a type described above is also permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under ☞ Article 10.A.4.g. These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to the proceeding itself.
2. Consider or evaluate the performance of any officer as a member of court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by the Manual for Courts-Martial, M.C.M. 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsels’ advocacy skills (e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, use of expert witnesses or demonstrative evidence, etc.) displayed in a court-martial setting. However, in commenting on such performance, whether favorable or unfavorable, no reference will be made to the name, case number, or final result (acquittal, conviction, or sentence).
3. Mention or allude to the fact that the Reported-on Officer was not selected by a board or panel (e.g., references to non-voluntary retirement or separation).
4. Mention any PRRB or CGBCMR application or decision.

5. Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members. **The mention of NFFD status is prohibited.**
6. Mention pregnancy. Restriction applies to Reported-on Officer and family members.
7. Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.
8. Place emphasis upon a third party by gender, religion, color, race, or ethnic background (e.g., Catholic lay minister wrote award recommendation for African-American civilian). **Although there is no restriction on naming third parties, rating chains should realize it is much easier to reconcile titles with positions of authority rather than correlating performance with proper names.**
9. Refer to the Reported-on Officer by first name.
10. Refer to Reported-on Officer's marital or family status.
11. Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period.
12. Provide comments, attachments or citations which include information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above the UNCLAS level.

10.A.4.g. Reported-on Officer Reply

1. The Reported-on Officer may reply to any OER regardless of its content and have this reply filed with the OER. Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official.
2. Comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. Restrictions outlined in  Article 10.A.4.f. apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.
3. Reported-on Officer replies must be submitted to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the original rating chain. Replies shall not be forwarded through the OER Administrator. If the whereabouts of the original rating chain members are unknown, submit the original and one copy directly to Commander (CGPC-rpm) or Commander (CGPC-opm-3) who will forward the reply to the Supervisor, Reporting Officer, and Reviewer.

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4. Replies must be submitted to the Supervisor within 14 days from receipt of the official copy from Commander (CGPC-opm) or Commander (CGPC-rpm). Replies based upon receipt of local copies will not be accepted.
5. The OER Reply should be processed by the rating chain to arrive at Commander (CGPC-rpm) or Commander (CGPC-opm-3) not later than 30 days after the date the Reply was submitted to the Supervisor.
6. The Reported-on Officer shall inform Commander (CGPC-rpm) or Commander (CGPC-opm-3) directly by written communication (E-mail is acceptable) if the official receipt copy of the OER Reply has not been received 60 days from the date the Reply was submitted to the Supervisor.
7. Reported-on Officer replies do not constitute a request to correct a record. An officer who believes his or her OER contains a major administrative or substantive error should **follow** the procedures to correct military records **as** outlined in  Article 10.A.7. This includes requests to have the OER, or a part thereof, removed from the record. Members of the rating chain who, in their review of a Reported-on Officer's reply, concur with the Reported-on Officer that an error may be present in the OER, shall return the reply to the Reported-on Officer and assist that officer in following  Article 10.A.7. procedures.
8. Format for replies:

Date: (Submitted to Supervisor)

Signature

From: **(RANK, NAME, USCG/USCGR)**

To: Commander, Coast Guard Personnel Command (opm-3)

Thru: (1) (Original Supervisor by name)
(2) (Original Reporting Officer by name)
(3) (Original Reviewer by name)


Subj: OER REPLY

Ref: (a) Personnel Manual, COMDTINST M1000.6 (series)



1. As authorized by reference (a), I request the below reply be filed with my evaluation report for the period (YR, MONTH, DAY) to (YR, MONTH, DAY).

#

9. Reported-on Officers shall limit their replies to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Each rating chain member responding to the reply shall limit that response to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures. If a rating chain member elects not to respond to the reply, he or she shall initial and date in the **thru** block of the Reply, and forward through the rating chain.

10. Any rating chain member who, upon reviewing a Reported-on Officer's reply, finds reason to concur that an error of fact may be present in the OER shall comment in their response and assist the officer in following the records correction procedures in  Article 10.A.7.

10.A.4.h. Derogatory Reports

1. Definition. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of **assigned** duties. Derogatory reports are only those OERs which:
 - a. **Contain a** numerical mark of one in any performance dimension, or
 - b. **Contain** an "unsatisfactory" mark by the Reporting Officer in section 9.
 - c. **Documents adverse performance or conduct that results in the removal of a member from his or her primary duty or position.**
2. Processing. Derogatory OERs are processed as follows:
 - a. The Reporting Officer shall provide a copy (authenticated through Section 11) to the Reported-on Officer requesting that an addendum be prepared. The Reported-on Officer is not required to prepare an addendum. The Reported-on Officer's addendum does not constitute an official request for correction of a record but provides the Reported-on Officer an opportunity to explain the failure or provide their views of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from an official request for correction of the record under  Article 10.A.7. or submitting an OER Reply under  Article 10.A.4.g.
 - b. After completing the addendum, the Reported-on-Officer shall forward the OER along with the addendum to the Reporting Officer. The Supervisor and the Reporting Officer shall be afforded the opportunity to address the Reported-on Officer's addendum. In all cases, the rating officials shall each endorse the addendum by signature. The Reporting Officer will then forward the OER and attachments to the Reviewer.
 - c. If the Reported-on Officer declines to make an addendum they shall so indicate by attaching the following statement: "I am aware of the contents of the performance report and decline comment." An addendum by the Reported-on Officer must be made within 14 days of receipt of the OER unless an extension is specifically requested from Commander (CGPC-rpm) or Commander (CGPC-opm-3). If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Reporting Officer shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall prepare a Reviewer Attachment specifically stating that an addendum was solicited but not received.

- d. The Reviewer shall ensure that the evaluation of the Reported-on Officer is consistent and that the derogatory information is substantiated. If the Reviewer finds otherwise, he or she shall return the report to the Reporting Officer for additional information and/or clarifying comments. Any substantive changes to the OER require its return to the Reported-on Officer to provide another 14-day opportunity for the Reported-on Officer to revise the addendum.
- e. Since the above procedure does not constitute a request for correction of the record, the Reported-on Officer shall limit the addendum to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Rating chain members, addressing the Reported-on officer's addendum, shall each limit their comments to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures.

10.A.4.i. Format for Addendum

1. Reported-on Officers and members of the rating chain shall each identify their attachments in the format below:
 - a. NAME/RANK/SSN OF REPORTED-ON OFFICER.
 - b. PERIOD OF REPORT.
 - c. REPORTED-ON OFFICER/SUPERVISOR/REPORTING OFFICER/REVIEWER COMMENTS:
 - d. Following the last line of comments the rating chain shall sign as below:


Signature/Date
Name: Rank: (typed)
Rating chain designation
2. The addendum and attachments should be stapled to the back of the OER before submission to the OER Administrator.

10.A.4.j. Review of OERs at Coast Guard Personnel Command

1. OERs sent to Coast Guard Personnel Command by OER Administrators are received by **Commander, (CGPC-rpm), Reserve Personnel Management Division or Commander, (CGPC-opm-3), Officer Evaluations Branch.**
2. **Commander, (CGPC-rpm) or Commander, (CGPC-opm)** reviews OERs for substantive errors. Particular attention is given to inconsistencies between the numerical evaluations and written comments. The review is not intended to question a rating official's judgment about a subordinate's performance, but to ensure OERs have been prepared in accordance with OES guidelines.

3. Reports found unacceptable are returned to the Reporting Officer, via the Reviewer, with a letter identifying areas for correction. When corrected by the appropriate member(s) of the rating chain, OERs are returned to **Commander, (CGPC-rpm) or Commander, (CGPC-opm-3)** via the rating chain within 30 days.
4. After an OER has been accepted, **Commander, (CGPC-rpm) or Commander, (CGPC-opm-3)** returns a photocopy to the Reported-on Officer. This copy is stamped "Official Receipt Copy" to distinguish it from unofficial copies the officer may have received from the rating chain.

10.A.4.k. Correction of OERs

1. Comments in the OER must be sufficiently specific to present a complete picture of the Reported-on Officer's performance and qualities during the period. They should be both reasonably consistent with the numerical marks assigned and justify those marks which deviate from a four. On those marks indicated by **Commander, (CGPC-rpm) or Commander, (CGPC-opm-3)** as not being supported, the Rating chain should either provide additional narrative support reflecting specific performance observations or adjust the marks to the information already provided.
2. Administrative Remarks:
 - a. Marks and comments may be changed only by the original Supervisor and Reporting Officer.
 - b. Comments must be confined to the allotted space on the form. The Supervisor's comments must be confined to Sections 2-5 and the Reporting Officer's to Sections 7-8 and Section 10. Only the Reviewer may add a comment sheet in compliance with  [Article 10.A.4.d.](#)
 - c. All changes to the original OER should be initialed.
 - d. The dates in Blocks 6.e., 11.e., and 12.f. should be adjusted to reflect the date that the necessary changes and reviews were actually made.
 - e. A new OER form should be used if the corrections are extensive. A new form is required if more than two marks are changed or a different size or style of type is used for additional comments. The date submitted (Block 1.m.) should not be changed.
 - f. The revised OER should be returned via the Reviewer, not the OER Administrator.

10.A.5. Preparation and Use of the Duty under Instruction (DUINS) OER

10.A.5.a. General

This section describes the procedures for preparing and processing Duty Under Instruction (DUINS) Officer Evaluation Reports (OERs).

1. The OER (CG-5310 (series)) submission schedule for officers assigned to DUINS shall be as follows:
 - a. When a Reported-on Officer is assigned PCS duty under instruction to a civilian institution, Naval Post Graduate School (NPS) Monterey, or an Armed Forces School (Service or senior Service), OER submission will be coordinated with routine breaks in the school's academic schedule. For lieutenants (junior grade) and below, at a minimum OERs shall be submitted twice a year. For lieutenants and above, at a minimum OERs shall be submitted once a year.
 - b. When a Reported-on Officer is assigned PCS duty under instruction to industry training, OERs shall be submitted upon detachment of the officer or completion of the program.
 - c. When a Reported-on Officer is assigned PCS duty under instruction to Flight Training, OERs shall be submitted at the end of each training phase.
 - d. When a Reported-on Officer is assigned PCS duty under instruction and performing duty as an intern or trainee at a Coast Guard unit (e.g., Law student, legal staff intern), a concurrent OER may be submitted for a period of greater than 14 days. This concurrent OER provides an opportunity for DUINS students to document performance and is an exception to the guidelines provided in [Article 10.A.3.c.2.](#)
2. Use the DUINS flowchart ([Figure 10.A.7.](#)) for general guidance when submitting a DUINS OER.

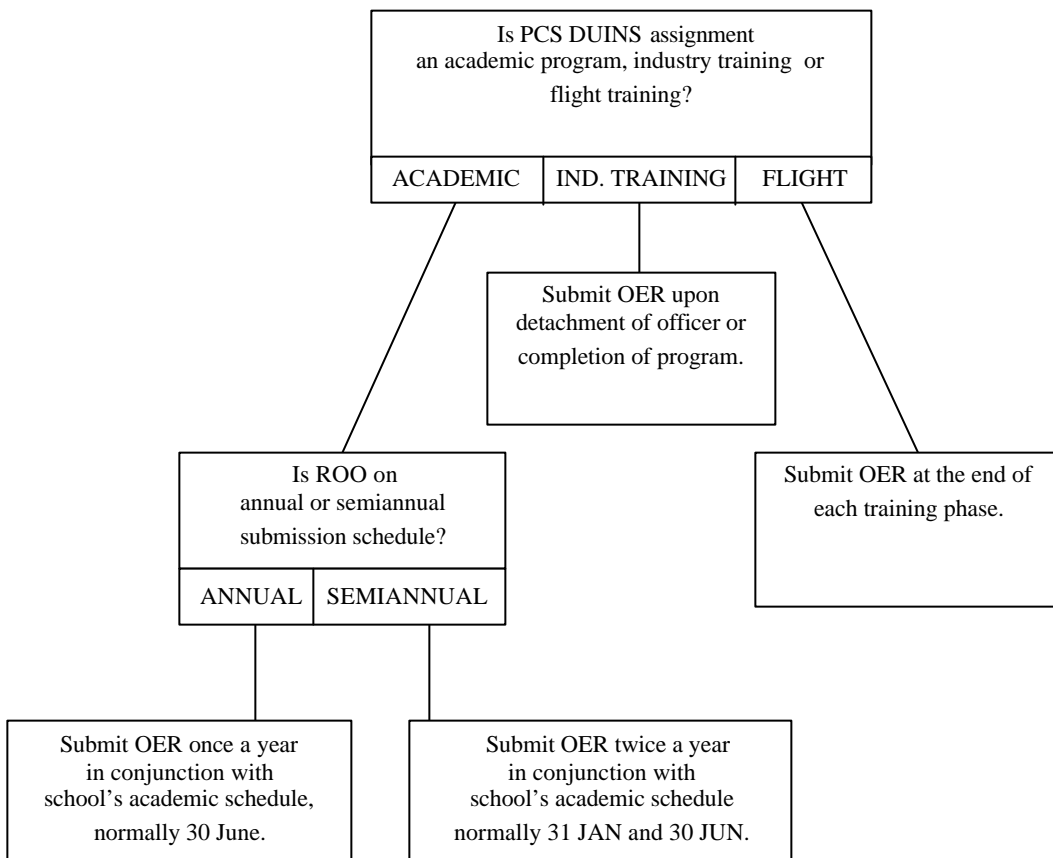
10.A.5.b. Designation of Rating Chain Members

1. For Reported-on Officers assigned PCS duty under instruction to a civilian institution, industry training, or to NPS Monterey, rating officials will be individuals within the appropriate program managing office.
2. For Reported-on Officers assigned PCS to duty under instruction to Service schools such as flight training, Naval War College (command and staff), AFSC, etc., the host Service's chain of command will function as the Supervisor and Reporting Officer. The Reviewer will be either the Coast Guard liaison officer (if any) or an individual within the appropriate program managing office.

3. For officers assigned PCS to duty under instruction to senior Service Schools, e.g., Air War College, Naval War College, National War College, or State Department Foreign Service Institute, etc., the host Command's chain of command will function as the Supervisor and Reporting Officer. The Reviewer shall be a Coast Guard officer in the grade of captain or above from the appropriate program managing office.

OER FOR DUTY UNDER INSTRUCTION (DUINS)

10-A-5.a(1)



Key:
ROO = Reported-on Officer


FIGURE 10.A.7

10.A.5.c. Preparation

1. Section 1—Administrative Data. The Reported-on Officer will complete all items in this Section and Section 13 (Return Address). The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.

Items:

- a. NAME—Last and initials only.
- b. SOCIAL SECURITY NUMBER—Ensure correct.
- c. **RESERVE STATUS/DRILLS CONDUCTED**—IDPL officers only. **Leave Blank.**
- d. GRADE—Two-character pay grade (e.g., W2, O5) as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- e. DATE OF RANK—Date of rank in all numerals (e.g., 1997/01/23) for the rank of the officer associated with the period of report.
- f. UNIT—The name of school, college, or university being attended or designation of industry training.
- g. ADMINISTRATIVE TARGET UNIT (ATU)—OPERATING FACILITY (OPFAC).
 - (1) ATU—Use the two-digit numeric designation of personnel servicing unit to which administratively assigned (e.g., 01 for First District, 98 for Headquarters).
 - (2) OPFAC—Use the OPFAC number assigned to the institution.
- h. DAYS NOT OBSERVED—Enter a two-digit number in all categories representing the days not observed during the evaluation period.
- i. DATE REPORTED—Indicate the actual date of reporting to the school specified in f. as shown by endorsement on orders. Enter date in the same format as e. above.
- j. PERIOD OF REPORT—The regular reporting period commences the day after the ending date of the previous regular OER and ends on the date of the occasion for the report. Dates shall be entered in the same format as e. above.
- k. OCCASION FOR REGULAR REPORT—Mark "Annual", "Semiannual" or "Detachment of Officer" as the occasion for the report.

- l. EXCEPTION REPORT - Leave unmarked.
- m. DATE SUBMITTED—The date the Reported-on Officer submits the OER form to the Supervisor. Dates will be entered in the same format as (e) above.
2. Section 2, Description of Duties and Attachments.
 - a. Identify the institution or school attended and its location, the program or degree sought or earned, and the expected duration or completion of the program.
 - b. List documents attached to the OER. Letter reports signed by school officials are required at the completion of a DUINS assignment at the Naval War College (senior college), Army War College, Air War College, Foreign Service Institute (senior seminar), ICAF, National War College, Harvard National Security Fellowship, National Defense University (NDU) Research Fellowship, and Sloan Fellowship.
 - c. Do not attach transcripts or diplomas.
3. Sections 3 through 10.
 - a. The "Not Observed" circle shall be used for all marks. Leave section 9 (comparison or rating scale) blank.
 - b. As applicable to the program being attended, course titles, grades, and grade point average for each semester covered by the OER shall be listed in Block 3f.
 - c. No other comments are authorized in these sections.
4. Reviewer Comments. Reviewer comments shall follow the format specified in  [Article 10.A.4.d.](#)

10.A.6. PREPARATION AND USE OF THE OSF WORKSHEET

10.A.6.a. General

This section suggests procedures for preparing and using the optional OSF worksheet. This form may be used by either the Reported-on Officer, the Supervisor, or both, as an aid to establishing a clear understanding of job expectations and assist the Supervisor in providing constructive performance feedback and in preparing proper evaluations. Use of the OSF or similar format is mandatory for Supervisors of all Reported-on Officers in the grades of ensign and lieutenant (junior grade), when the Reported-on Officer requests its use, or when a senior member of the rating chain directs its use. The form may be handwritten or typed. If a documentation format other than the OSF is used, general adherence to the major sections of the OSF are encouraged.

10.A.6.b. Functions of the OSF

1. Serves as a vehicle for clarifying the Reported-on Officer's job responsibilities and areas of the job which either the Reported-on Officer and/or Supervisor feel should receive emphasis during the reporting period.
2. Serves as a means for the Reported-on Officer to inform the Supervisor if beginning or end-of-period performance feedback or counseling is desired.
3. Provides the Reported-on Officer a means of bringing to the Supervisor's attention significant accomplishments or aspects of performance which occurred during the period.
4. Provides a convenient place for the Supervisor to note significant accomplishments, shortcomings, behavior, or qualities observed during the period.
5. Serves as a vehicle for giving specific, constructive performance feedback.
6. Assists the Supervisor and Reporting Officer in preparing well-substantiated performance evaluations.
7. Serves as a vehicle for the supervisor of a TAD officer, assigned temporarily for periods of less than 60 days, **or an ADSW officer, assigned temporarily for periods of 6 months or less**, to relay information to the Reported-on Officer's OES Supervisor. The OSF is normally submitted to the Supervisor upon detachment of the officer from TAD.
8. Serves as a means for district commanders to report on commanding officers of Headquarters units located within their districts. This is an optional avenue to address community relations and those aspects of performance relating to the support services defined in Memoranda of Understanding (MOUs), host-tenant agreements, intra-service support agreements, or similar contracts. If used, OSFs will be submitted directly to the Reported-on Officer's regular Supervisor approximately 21 days before the end of the reporting period.

10.A.6.c. The Form

Form CG-5308 (**12/97**) may be used for all grades of officers. It consists of four pages with six major sections:

1. Administrative Data
2. Description of Duties
3. During Period Adjustments
4. Accomplishments and Shortcomings for the Reporting Period

5. Supervisor Comments on Reported-on Officer Accomplishments and Shortcomings
6. Performance Observations

10.A.6.d. Preparation

1. Section 1, Administrative Data.
 - a. NAME/RANK OF REPORTED-ON OFFICER.
 - b. NAME/RANK OF SUPERVISOR—Normally, this will be the primary Supervisor as published in the rating chain.
 - c. PERIOD COVERED—The period of time covered by the information noted in the form. Normally the same as the OER reporting period.
2. Section 2a, Description of Duties.
 - a. This space provides opportunity for the Reported-on Officer or Supervisor to make a “common sense” outline of the Reported-on Officer’s normal duty requirements for the specific billet or duty position.
 - b. Entries should show the type of work required rather than frequently changing tasks.
 - c. Descriptions should be clear, concise, and specific; explain what the Reported-on Officer’s job is; and not merely list primary and collateral duty titles.
 - d. Entries should include a description of primary duties and significant collateral duties. Specific requirements, key activities, and available resources (such as amount of money controlled and number of people supervised) should also be described.
3. Section 2b, Areas of Emphasis.
 - a. This section provides an opportunity for the Reported-on Officer or Supervisor to record specific projects to be completed, problems anticipated, progress sought, and specific results expected during the reporting period.
 - b. Particular goals for the Reported-on Officer’s professional development during the period may be listed as well (such as completion of professional qualifications or exams, attendance at particular training courses, or completion of correspondence courses, etc.).
4. Section 2c, Initial Meeting Desired.
 - a. This section shall be used by the Reported-on Officer to notify the Supervisor

if a meeting is desired at the beginning of the reporting period to discuss what is expected for the coming period. If the Reported-on Officer desires a meeting, they shall submit the OSF to the Supervisor no later than 21 days before the beginning of the reporting period.

- b. When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

5. Section 3, During Period Adjustments.

- a. This section is useful when circumstances affecting the Reported-on Officer's duties, projects, and areas of emphasis change to any significant degree.
- b. The Reported-on Officer or Supervisor may note new tasks, altered responsibilities, changes of resources, or special problems emerging during the reporting period that impact upon the Reported-on Officer's ability to attain the expected results.

6. Section 4a, Accomplishments for the Period.

- a. In this section, the Reported-on Officer may list accomplishments and progress toward completing projects or achieving expected results entered in Section 2b. Educational or professional accomplishments achieved may be entered as well.
- b. If the Reported-on Officer intends to apprise the Supervisor of accomplishments or progress for the period using the OSF, the Reported-on Officer shall submit the OSF no later than 21 days before the end of the reporting period.

7. Section 4b, End of Period Meeting Desired.

- a. The Reported-on Officer shall use this section to notify the Supervisor an end-of-period meeting is desired.
- b. When the conference has been held, the Supervisor should date and initial the OSF in the space indicated.

8. Section 5, Supervisor's Comments on the Reported-on Officer's Accomplishments and Shortcomings for Period.

- a. The Supervisor may affirm, supplement, expand, or otherwise comment upon the Reported-on Officer's accomplishments during the reporting period. The Supervisor should draw from the information generated by conferences and other performance.

- b. Comments here may become a subject for discussion during the end-of-period conference.

9. Section 6, a-f, Performance Observations.


- a. This section of the OSF is used by the Supervisor to note specific examples of the Reported-on Officer's performance or qualities observed or brought to the Supervisor's attention in each of the major evaluation areas of the OER.
- b. The most significant incidents or aspects of performance should be noted for recall to assist in providing constructive performance feedback and substantiating evaluations on the OER. Entries are best noted chronologically as they occur in the appropriate evaluation area.
- c. For convenience, the Supervisor may use the OSF as a file folder to keep notations of observed performance and to append copies of correspondence, messages, or other documentation related to the Reported-on Officer's performance during the reporting period.
- d. Supervisors are encouraged to exercise imagination in utilizing section 6 of the OSF as an aid in obtaining information related to the Reported-on Officer's performance. For example, practices such as circulating a copy of the OSF to other staff members who may have knowledge of the Reported-on Officer's performance or the performance of their organizational unit are acceptable and may be helpful.

10.A.6.e. Disposition of the OSF

- 1. When the OSF has been used by the Reported-on Officer and the Supervisor, the Supervisor should transfer any pertinent information or notes from his or her copy to the original, which has been held by the Reported-on Officer during the period. Having used the OSF as an aid in evaluating the Reported-on Officer's performance, the Supervisor then forwards the original OSF, the OER, and any other information available to the Reporting Officer. The Supervisor then destroys the copy of the OSF, if different from the original. A photocopy of the original may be retained.
- 2. The step in paragraph 1. above (describing the transfer of information from a working copy to the original OSF) represents one recommended way and is not intended to restrict the Supervisor in finding a flexible or more convenient way to finalize the OSF. There are a variety of approaches by which information may be obtained or transferred from one form to another subject to the Supervisor's preference. The goal is for the Reported-on Officer to be aware of what his or her evaluation will be based on and to provide the Supervisor and Reporting Officer with objective data for consideration in writing the OER.

3. Supervisors and Reported-on Officers are encouraged to be flexible in using the OSF as an aid in carrying out their duties within the spirit of these instructions. Filing copies of correspondence, messages, work lists, trip reports, and even paper notes in the OSF is a sound means of spontaneously documenting the Reported-on Officer's performance. These documents can greatly assist in giving performance feedback and writing an evaluation.
4. Assisted by the OSF, personal observations, and other information available, the Reporting Officer evaluates the Reported-on Officer's performance of duties, personal qualities, and potential for increased responsibilities. After completion of the appropriate OER sections, the Reporting Officer returns the OSF to the Reported-on Officer.

10.A.7. CORRECTION OF MILITARY RECORDS

Coast Guard officers are encouraged to review their record periodically. While Commander, (CGPC-opm) **and Commander, (CGPC-rpm)** attempt to ensure that OERs accurately reflect officers' performance, the possibility of administrative or substantive error still exists. Accordingly, officers may seek correction of any OER, or any portion thereof, if in their opinion the report is in error. Those officers wishing to exercise this right should follow the procedures to correct military records contained in Personnel Records Review Board, COMDTINST 1070.10 (series) and  [Article 14.B.](#) for forwarding the application to the Personnel Records Review Board (PRRB) or Board for Correction of Military Records (BCMR), as appropriate. The application may be forwarded through the original rating chain at an officer's option. If the whereabouts of the original members of the rating chain are unknown, officers should submit the application directly to the PRRB or BCMR.

10.A.8. OES CHANGES

10.A.8.a. General

Commander, (CGPC) will report annually on the health of the Officer Evaluation System (OES). Statistical trends and conclusions will be included in the report, plus recommended changes for the current year and identification of issues and/or changes under consideration.

10.A.8.b. Participation

Anyone is encouraged to recommend improvement or change. Address formal or informal correspondence to **Commander, (CGPC-rpm) or Commander, (CGPC-opm-3)**. Communication by telephone is also encouraged to discuss issues or areas of personal concern.

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10.B. Enlisted Employee Review System (EERS)

10.B.1. General

10.B.1.a. Purpose

The **Enlisted Employee Review System (EERS)** has been designed to serve several specific purposes:

1. To set standards by which to evaluate the performance and behavior of all enlisted members;
2. To inform enlisted members of the performance standards they will be measured against;
3. To provide a means by which enlisted members can receive feedback on how well they are measuring up to the standards;
4. To capture a valid, reliable assessment of enlisted members' performance, so the Coast Guard may advance and assign members with a high degree of confidence;
5. To provide critical information that may affect discharges, re-enlistments, good conduct, advancement eligibility, and reductions in rate.

The employee review is not only used to document an individual's past performance, but more importantly, to provide a road map for future improvement.

10.B.1.b. Policy

Each commanding officer/officer in charge must ensure all enlisted members under their command receive accurate, fair, objective, and timely employee reviews. To this end, the Service has made enlisted performance criteria as objective as possible, within the scope of jobs and tasks enlisted personnel perform. In using the Enlisted Employee Review System, strict and conscientious adherence to the specific wording of the standards is essential to realizing the purpose of **the employee review process**.

10.B.2. Required Supporting Remarks

10.B.2.a. Discussion

1. **Supporting remarks are required to be submitted along with the employee review, up through the marking chain to address the future leadership potential of all enlisted personnel, E-6 and above, and for any recommended marks of 1, 2, or 7, unsatisfactory conduct mark, or loss of recommendation for advancement.** ☞ Articles 10.B.6.a., 10.B.7. and 10.B.9.a.

- (a) **Employee reviews that result in assignment of an unsatisfactory conduct mark or low competency marks as defined in ☞ Article 10.B.8.a. must be supported by an adverse remarks entry for:**


- (1) Non-judicial punishment;
 - (2) Court-martial;
 - (3) Civil conviction;
 - (4) Financial irresponsibility;
 - (5) Not supporting dependents;
 - (6) Alcohol incidents; and
 - (7) Not complying with civilian and military rules, regulations, and standards.
- (b) Do not confuse this entry with the many other reasons to **provide supporting remarks when completing an employee review. This entry must either state an NJP, CM, civil conviction or low competency mark (☞ Article 10.B.8.a.)** occurred, or give specific examples of financial irresponsibility, non-support of dependents, alcohol incidents, nonconformance to civilian and military rules, regulations, and standards which discredited the Coast Guard.
- (c) In noncompliance with civilian and military rules, regulations, and standards; a one-time, minor infraction (e.g., late to work) is insufficient to be classified as an adverse **remarks** entry, which, in turn, necessitates conducting a special employee review and terminating Good Conduct Award eligibility. Adverse entries dealing with minor infractions should focus on patterns of unacceptable behavior instead of a one-time minor infraction.
- (d) To clearly distinguish this type of remarks entry from all others, start the entry in the conduct competency field with:
- This is an adverse supporting remarks entry for
- (e) **All employee reviews submitted on enlisted personnel, E-6 and above, are required to include supporting remarks, documenting the individual's leadership potential, along with the commanding officer's advancement recommendation. They must clearly identify the member's current and future potential for positions of greater responsibility. The accuracy of these entries is essential to distinguish individuals requesting to compete for command cadre or special assignment positions.**

10.B.2.b. Definitions

1. **Enlisted Employee Review Management System (EERMS).** The automated system which assists Commandant (G-W) in monitoring EERS performance, providing system feedback, enforcing enlisted employee review discipline, and serving as the data base of official marks of each member.
2. **Enlisted Employee Review (EER).** The series of web pages contained in CGHRMS used to report the performance of Coast Guard enlisted

personnel. The EER contains updated performance standards and is a web-based application used to initiate, review and transmit a member's completed employee review.

3. **Enlisted Employee Review System (EERS).** The Coast Guard system, which addresses the performance appraisal of its enlisted personnel.
4. **Evaluee.** The enlisted member being evaluated.
5. **Competency Types.** The four major categories of performance.
 - a. **Military.** Measures a member's ability to bring credit to the Coast Guard through personal demeanor and professional actions.
 - b. **Performance.** Measures a member's willingness to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.
 - c. **Professional Qualities.** Measures those qualities the Coast Guard values in its people.
 - d. **Leadership.** Measures a member's ability to direct, guide, develop, influence, and support others performing work.
6. **Competencies.** The individual elements on which the Coast Guard evaluates its enlisted personnel.
7. **Employee Review Worksheet.** This form is optional and shall be used only by units without access to CGHRMS. Those units not having CGHRMS access can access the procedures for completing an off-line Employee Review Worksheet at www.uscg.mil/hq/hrsic/Manuals-Pubs-Newsletters/PPPM/PPPM-PDR-BYCHAP/CHAP10.pdf. The Approving Official shall ensure any employee review initiated using a worksheet is properly entered into CGHRMS. In these cases, the unit that entered the review into CGHRMS (typically a unit providing administrative support, e.g. PERSRU, Group Office, etc.) provides the approving official with a copy of the Member Counseling Receipt which reflects the effective status of 'Active'. This printed receipt serves as confirmation to the unit and servicemember that the Employee Review Worksheet was properly recorded into CGHRMS.
8. **Performance Feedback.** No specific form or forum is prescribed for performance feedback. Performance feedback - formal or informal - actually occurs whenever an evaluee receives any advice or observation from a rating official on their performance or any other matter on which they may be evaluated. Performance feedback can occur during a counseling session, particularly during a mid-period session, through on-the-spot comments about performance, or at the end of the employee review period. Each evaluee must be continuously alert for the "signals" received in one of these ways from the rating chain. If the signals are not clear, the evaluee must ask the rating chain for clarification.

9. **Competency Descriptions.** The written criteria on the **EER** that define objective performance levels within each competency.
10. **Rating Officials.** The individuals responsible for evaluating and helping to motivate the performance and behavior of the evaluatee.
11. **Supervisor.** The Supervisor shall be an officer, civilian, or enlisted person.
 - a. If enlisted, the Supervisor must be at least one pay grade senior to the evaluatee except as noted below:
 - (1) The command may designate a first class petty officer (E-6) as the Supervisor.
 - (2) A supervisor who is a first class petty officer, designated as executive petty officer, does not have to be one pay grade senior to the evaluatee.
 - b. If civilian, must be an official designated as the member's supervisor.
 - c. If necessary, the Marking Official can fill the role of Supervisor.
12. **Marking Official.** The Marking Official shall be an officer, civilian, chief petty officer, or first class petty officer. However, a first class petty officer must be designated as an executive petty officer. A Marking Official who is a designated executive petty officer does not have to be one pay grade senior to the evaluatee.
13. **Approving Official.** The Approving Official must be a Coast Guard officer, officer in charge (E-7 or above), or Coast Guard civilian who is the official supervisor of the Marking Official.
 - a. Approving Officials will appoint rating chain officials within the prescribed guidelines for any enlisted personnel who are not otherwise covered by the general guidelines.
 - b. If necessary, the Approving Official can fill the role of the Marking Official.
14. **Regular Employee Review.** Any annual or semiannual employee review.
15. **Special Employee Review.** An employee review performed for any reason other than a regular Employee Review as prescribed in  Article 10.B.5.b.

10.B.3. Designating Officials

10.B.3.a. Evaluators

Figure 10.B.3.1. designates those personnel who execute the employee review process for enlisted personnel. Waiver requests for exceptions to these designations shall be addressed to Commander, (CGPC-epm-1) for determination.

FIGURE 10.B.3.1.**ENLISTED EMPLOYEE REVIEW RATING CHAIN**

UNIT TYPE	SUPERVISOR¹	MARKING OFFICIAL¹	APPROVING OFFICIAL¹	APPEAL AUTHORITY¹
Headquarters	As Division Chief designates	Division Chief	Office and Staff Chiefs	Assistant COMDT (G-A, G-W, etc.) ⁶
Area/MLC Offices	Supervisor as Branch Chief designates	Section Chief	Operations Branch or Chief, Staff Components	Area/MLC Commander
District Offices	Section Chief or as Branch Chief designates	Branch Chief	Division Chief or Chief, Staff Components	District Commander
Academy	Section Chief or as Branch Chief designates	Branch Chief	Division Chief	Superintendent (including EAGLE)
Headquarters Units	As Division Chief designates	Division Chief	Commanding Officer	Commandant
TRACEN	As Approving Official designates	As Approving Official designates	Division Chief or Training Division Branch Chief	Commandant (G-WT)⁸
Area/District Vessels/Units ²	As Marking Official designates	Department Head, Division Chief ⁵	Commanding Officer	Area/District Commander
Units/Vessels, Groups, Sections ²	As Marking Official designates	Department Head, Division Chief ⁵	Commanding Officer, Group/Section/Activity Commander ⁷	District/MLC Commander
Group/Units/Vessels	As Commanding Officer or Officer-in-Charge designates ⁹	Executive Officer/Executive Petty Officer	Group Commander/ ³ Commanding Officer/Officer In Charge	District Commander
ADASGN Personnel and Reservists at PSUs and CNCWUs	As Commanding Officer designates	As Commanding Officer designates	Commanding Officer ⁴	District/Area/MLC Commander
Master Chief Petty Officer of the Coast Guard	As designated by Approving Official	As designated by Approving Official	As designated by Approving Official	Commandant (G-CCS)

ENLISTED EMPLOYEE REVIEW RATING CHAIN
FOOTNOTES FOR FIGURE 10.B.3.1.

1. ☞ Article 10.B.2.b. for specific guidelines on the definitions of the rating officials.
2. Includes ship indoctrination units, aircraft program offices, detachments, liaison offices, and other similar units. For those units where Figure 10.B.3.1. does not clearly indicate roles, contact Commander, (CGPC-epm-1) for direction.
3. Group and activity commanders will be the Approving Official for employee reviews of officers in charge and may designate Marking Officials as defined in ☞ Article 10.B.2.1 (2).
4. The Approving Official must be a Coast Guard officer or officer in charge (E-7 or above). Public Health Service officials assigned to Coast Guard commands may sign as Approving Official.
5. In rare circumstances, the executive officer or executive petty officer may serve as Marking Official where they provide primary task direction.
6. The Chief of Staff is the Appeal Authority for enlisted members assigned to the Commandant's staff and the Vice Commandant's staff. When the Commandant personally signs as Marking Official and Approving Official the Appeal Authority will be the Board for Corrections of Military Records.
7. **Commander, Coast Guard Activities New York and Baltimore have authority to assign division chiefs as Approving Official and branch chiefs as Marking Official for those members assigned to duty within their rating chain.**
8. **Commanding Officer, TRACEN Yorktown, Petaluma and Cape May have authority to assign Division Chief or Training Division Branch Chief as Approving Official for those members assigned to duty within their rating chain. CO has authority to grant an appeal. Appeals not granted will be endorsed by the CO and forwarded to Commandant (G-WT) for consideration and final decision.**
9. **The supervisor must be an E-6 or above.**

10.B.3.b. Delegating Approving Official Authority

Approving Official authority may not be delegated.

10.B.3.c. Approving Official Supervises Member

If an evaluatee works directly for the Approving Official and no one else supervises the member, such as at district, MLC, CGPC, or Area independent staff components, liaison offices, detachments, etc., the Approving Official completes the entire employee review and any appropriate **supporting** remarks ☞ **Article 10.B.2.**

10.B.3.d. Flag Officer Supervises Member

If an evaluatee, such as a flag level Command Master Chief, Special Command Aide, etc., works directly for a flag officer, the flag officer completes the entire employee review and any **required supporting remarks** ➡ **Article 10.B.2.**

10.B.3.e. Member Assigned to units without Access to CGHRMS

If an evaluatee is assigned to a unit without access to CGHRMS, the appropriate individuals shall utilize an Employee Review Worksheet ➡ **Article 10.B.2.b.7.**, completing the Supervisor and Marking Official sections, if necessary. The completed worksheet is then forwarded to the member's designated Approving Official ➡ **Figure 10.B.3.l.** for final review and entry into CGHRMS.

10.B.4. Responsibilities

10.B.4.a. The Unit

- 1. Responsible for reviewing the personnel roster through CGHRMS to determine when employee reviews are required ➡ Article 10.B.5.**
- 2. Determine the reason for employee review if the member is being evaluated for any reason other than a regularly scheduled annual or semiannual employee review.**
- 3. Initiates the EER and ensures all required competencies receive an assigned mark and the EER is forwarded through the rating chain.**
- 4. Ensures employee reviews are completed, including the signed counseling sheet, not later than 21 days after the end of the employee review period ending date. If an evaluatee refuses to sign the counseling sheet, a unit representative should so state in the evaluatee's signature block and sign the statement prior to transmitting the completed EER to HRSIC. The unit provides the evaluatee the original counseling sheet.**

10.B.4.c. The Evaluatee

The evaluatee and the rating chain are responsible for meeting all **EERS** standards. The evaluatee is ultimately responsible for:

- 1. Learning the EERS intent and procedures as set forth in these prescribed guidelines.**
- 2. Finding out what is expected on the job.**
- 3. Obtaining sufficient feedback or counseling and using that information in adjusting, as necessary, to meet or exceed the standards.**

4. If desired, providing a list of significant accomplishments.
5. **Signing in the member's signature block of the counseling sheet and retaining this form as a receipt to indicate acknowledgment of:**
 - a. The counseling and review of their employee review;
 - b. The impact of their employee review on their Good Conduct eligibility;
 - c. The appeal time frame;
 - d. His or her advancement potential and recommendation.
6. **Verifying through CGHRMS self service that their individual employee review has been properly recorded.**

Note: Members that have an approved employee review will be notified on their Leave and Earnings Statement (LES). It is their responsibility to verify their employee review and report any discrepancy thru their chain of command.

10.B.4.d. The Rating Chain

1. The rating chain assesses an enlisted member's performance and value to the Coast Guard through a system of multiple evaluators who present independent views and thus ensure accurate, prompt, and correct reporting. It reinforces decentralization by placing responsibilities for development and performance review at lower levels within the command structure. It ensures the evaluatee is evaluated on the required period ending date and the employee review is based on how the evaluatee performed in each competency consistently throughout the period, except for Conduct, which must be adhered to every day of the period.
2. Responsibility for evaluating the performance of enlisted personnel has been placed at several different levels. The employee review begins with the evaluatee's Supervisor and is progressively reviewed and modified, as necessary, by higher supervisory levels until finally approved by the Approving Official. Through this process, the **EERS** has a built-in check and accountability system to ensure supervisory personnel are aware of the importance of employee reviews and give them incentive to be totally objective and accurate. Each rating official shall:
 - a. Review and correct any inconsistencies found in employee reviews when considering an individual's performance compared to the written standards;
 - b. Hold the next lower supervisory level accountable for their employee reviews by observing the accuracy and quality of the employee reviews they submit, and by reporting the same on **their EER or OER**.

3. The Supervisor.

- a. Must become thoroughly familiar with the instructions, **competencies**, and standards before initiating an employee review(s).
- b. Must clearly communicate goals and acceptable standards of performance to the evaluatee before and throughout the marking period.
- c. Gathers all written and oral reports on the evaluatee's performance. Ascertains the status of the evaluatee's performance qualifications for next higher pay grade.
- d. Establishes a method for the evaluatee to provide input on his or her performance. **A suggested method is to have the evaluatee submit a list of significant achievements or aspects of performance midway during the marking period and not later than 14 days before the end of the marking period.**
- e. **Routes the completed employee review to the Marking Official no later than nine days prior to the period ending date, including supporting comments for any recommended supporting remarks ☞ Article 10.B.2.**
- f. **Counsels the evaluatee on the employee review after the Approving Official's action. The importance of how effective this piece of the evaluation process can be in setting the evaluatee up for future success cannot be over emphasized. How well the supervisor clearly communicates the member's past performance and methods in which to improve are primary to ensuring future success. The Supervisor is required to ensure the evaluatee is provided with a printed counseling sheet and acknowledges receipt by obtaining their signature ☞ Article 10.B.4.a.4.**

4. The Marking Official.

- a. Must become thoroughly familiar with the instructions, competencies, and standards before performing the employee review(s).
- b. Gathers all written and oral reports on the evaluatee's performance.
- c. Reviews recommended marks. Discusses with the Supervisor any recommendations considered inaccurate or inconsistent with the member's actual performance, paying special attention to recommended 1s, 2s, 7s, unsatisfactory conduct marks, or low competency marks. ☞ Article 10.B.8.a. The Marking Official has the authority to return the employee review to the Supervisor for further justification or support for any marks.

d. Routes the completed employee review to the Approving Official not later than five days after the employee review period ending date.

e. Holds Supervisor accountable for his or her **EERS** responsibilities.

5. The Approving Official.

a. Must become thoroughly familiar with the instructions, competencies, and standards before performing the employee review(s).

b. Gathers all written and oral reports on the evaluatee's performance.

c. Is responsible for ensuring:

(1) Overall consistency between assigned marks and actual performance/behavior and output without using any type of forced distribution process;

(2) Evaluatees are counseled and advised of appeal procedures;

(3) Employee reviews are submitted on time;

(4) The required supporting remarks are completed ☞ Article 10.B.2

(5) All reviews initiated using an Employee Review Worksheet are entered into CGHRMS ☞ Article 10.B.2.b.7.

d. Reviews the Marking Official's recommended marks and discusses with him or her any recommendations considered inaccurate or inconsistent with the evaluatee's actual performance, paying special attention to recommended marks of 1, 2, or 7; unsatisfactory conduct marks; low competency marks, or a "Not Recommended" mark in the Recommendation for Advancement competency ☞ Article 5.C.4.b.1.1., 5.C.4.e.5.a. and 10.B.7.3. The Approving Official has the authority to return the employee review form to the Marking Official to further justify or support any marks ☞ Article 10.B.2.

e. Holds Marking Official responsible for his or her **EERS** responsibilities.

f. Forwards the completed employee review to the Supervisor to counsel and inform the evaluatee.

g. Ensures the completed employee review, with supporting remarks (if applicable), are processed in sufficient time to permit them to be reviewed by the evaluatee through CGHRMS self service not later than 30 days following the employee review period ending date.

6. Commandant (G-W). Commandant (G-W) has overall responsibilities for the **EERS** for all enlisted personnel.
 7. Commandant (G-WPM) (for active duty members).
 - a. Provides individual appeal and policy guidance.
 - b. Maintains all applicable instructions and establishes policy governing the **EERS**.
 8. Commandant (G-WTR) (for reservists).
 - a. Provides individual appeal and policy guidance.
 - b. Maintains all applicable instructions and establishes policy governing the **EERS**.
 9. Commander, (CGPC-epm) or (CGPC-rpm).
 - a. Monitors all applicable instructions, and policy governing the **EERS**.
 - b. Responds to individual and command requests related to **EERS** policy. Direct phone inquiries to Commander, (CGPC-epm-1) or (CGPC-rpm).
 - c. Conducts statistical analysis of servicewide marking patterns to assist in system discipline.
 10. Commanding Officer, (HRSIC (adv)). Provides administrative quality control of all employee reviews.
-


10.B.5. Submission Schedule

10.B.5.a. Regular Employee Reviews

1. Regular Employee Reviews for active and reserve members are required to be submitted as shown in Figure 10.B.5.1. The deadline months shown in Figure 10.B.5.1 ensure all employee reviews are submitted in sufficient time for processing and completing the final multiple for Servicewide Examinations.

Figure 10.B.1 – Regular Employee Review Submission Schedule

PAY GRADE	DEADLINE DUE THE LAST DAY OF:
E-1	February (all) & August (AD only)
E-2	February (all) & August (AD only)
E-3	January (all) & July (AD only)
E-4	March (all) & September (AD only)
E-5	April (all) & October (AD only)
E-6	May (all) & November (AD only)
E-7	September (all)
E-8	November (all)
E-9	June (all)

2. If the rating chain must perform a special employee review on the same period ending date as the member's regular period ending date, enter as regular instead of the special reason, excepting a special disciplinary employee review; for that, enter the reason as disciplinary instead of regular.
3. Regular employee reviews may not be delayed. The unit rating chain is responsible for ensuring complete reviews are acknowledged by the evaluatee and completed within CGHRMS not later than 30 days after the employee review period ending date.
4. Do not complete a regular employee review on a member until the next regular period ending date when:
 - a. A special employee review has been completed within 92 days for E-6 and below employee reviews, 184 days for E-7 and above employee reviews, or 19 drill periods for reservists before the end of a regular period ending date,
 - b. An evaluatee has been assigned to a new duty station for fewer than 92 days for E-6 and below employee reviews, 184 days for E-7 and above employee reviews, or 19 drill periods for reservists on a regular period ending date.
5. Do not complete any employee review for the following circumstances:
 - a. Upon discharge, reenlistment, release from active duty, or retirement;
 - b. Evaluatee is undergoing Class "A," "C," advanced, or recruit training, except in disciplinary situations described in  Article 10.B.5.b.3;

- c. Evaluatee is in an unauthorized absence or desertion status on the regular period ending date;
- d. Evaluatee is granted leave awaiting appellate review of a court-martial;
- e. Evaluatee is in Home Awaiting Order Status (HAOS) awaiting Final Action of a Formal Physical Evaluation Review Board.
- f. On awarding NJP or civil conviction if the NJP award or conviction was due to an alcohol incident for which the member was previously assigned a special employee review. This exemption applies to alcohol incidents only.
- g. Upon advancement to any pay grade up to, and including, advancement to pay grade E-6.

10.B.5.b. Special Employee Reviews

Special employee reviews are conducted for any reason other than a regular employee review. While the **EERS** focuses on regular employee reviews, occasionally a special employee review is in order. Use the following to determine whether to perform a special employee review.

1. Complete a special employee review if the rating chain completed a regular or special employee review for a period ending more than 92 days for E-6 and below employee reviews, 184 days for E-7 and above employee reviews, or 19 drill periods for reservists before one of the events listed below.
 - a. Advancement or change in rating to pay grade E-7 or above. Complete a special advancement employee review as of the day prior to the effective date of advancement or change in rating using the employee review competencies for the previously held pay grade.
 - b. Detachment for permanent change of station. Commands shall ensure members sign the counseling sheet for transfer employee review NO LATER THAN 15 days before departing the unit to allow adequate time for counseling and appeal processing if required.
 - c. Detachment for intra-command reassignments if the Approving Official will change.
 - d. Detachment of an Approving Official who directly supervises an evaluatee.
☞ Articles 10.B.3.c and 10.B.3.d.
2. **The TAD, Active Duty for Special Work-Reserve Component (ADSW-RC), or Active Duty for Special Work-Active Component (ADSW-AC) commanding officer should provide, in writing, supporting documentation for input in the**

member's next regular employee review when an evaluatee completes TAD, ADSW-RC, or ADSW-AC for any length of time.

3. The following events require a special employee review, regardless of the time since the last employee review.
 - a. On the date a member is awarded non-judicial punishment (NJP) or convicted by a court-martial (CM).
 - (1) When a member awarded NJP or convicted by CM is stationed at a major Headquarters unit whose designated commanding officer of enlisted personnel for the command is not the regular Approving Official for the individual (i.e., Chief, Administration Division at a District Office or Commanding Officer, Headquarters Support Command), that officer sends a memorandum explaining the circumstances and a copy of the Court Memorandum, CG-3304, completed as a result of the NJP or CM to the member's designated Approving Official. The designated Approving Official uses the information provided to complete a special disciplinary employee review when:
 - (a) A member, including all students except Class "A" school and PCS DUINS, is awarded NJP or convicted by CM while serving on TAD and is to return to the parent command on completing the TAD; e.g., commanding officer of a training center for a person attending a two-week course who is awarded NJP while at the training center. The command effecting the NJP or CM conviction sends a letter explaining the circumstances to the member's parent command, including with the letter a copy of the Court Memorandum, CG-3304, completed as a result of the NJP or CM. The member's parent command completes a special disciplinary employee review using the information provided and its knowledge of the member's performance.
 - (b) When a member is awarded NJP or convicted by CM while serving PCS DUINS or as a Class "A" school student, the commanding officer completes a special disciplinary employee review, assigning an unsatisfactory conduct mark only, and leaves all other competencies blank.
 - (c) When a member is undergoing recruit training and is awarded NJP or convicted by CM, the commanding officer completes a special disciplinary employee review, assigning an unsatisfactory conduct mark only, and leaves all other competencies blank.
 - (2) On the date a civil court convicts a member if the civil offense compares to similar offenses covered by the Uniform Code of Military Justice (UCMJ). The following guidelines apply:

- (a) The Approving Official determines whether a civil offense resulting in conviction, action amounting to a finding of guilt or forfeiture of bail, is a minor or major offense compared to similar offenses covered by the UCMJ.
 - (b) Civil convictions must be evaluated carefully to avoid lowering conduct marks inappropriately or unjustly. Treat certain civil offenses; e.g., parking tickets, as not warranting a special employee review unless they are excessive.
 - (c) If the Approving Official determines a civil offense is a minor offense, they should normally consider it equivalent to NJP. Examples of minor offenses might include provoking a fight, a minor case of disturbing the peace, or an excessive number of parking tickets.
 - (d) If the Approving Official determines a civil offense is a major offense, they should normally consider it equivalent to a CM conviction. Examples of major offenses include robbery or driving while intoxicated.
 - (e) If a civil offense warrants an employee review of a member undergoing any Class "A," "C," advanced, or recruit training, the commanding officer completes a special disciplinary employee review, assigning an unsatisfactory conduct mark only, and leaves all other competencies blank.
 - (f) When a member is TAD, ADSW-RC, or ADSW-AC and convicted in civil court, the TAD, ADSW-RC, or ADSW-AC command writes a letter to the member's parent command to explain the circumstances. The parent command completes a special disciplinary employee review using the information provided and its knowledge of the member's performance.
4. For reduction in rate.
- a. Reduction as punishment.
 - (1) Complete a special disciplinary employee review effective the date punishment is imposed.
 - (2) Use the competencies for the rate from which reduced.**
 - (3) If a reduction in rate was awarded but the punishment was suspended and the suspension was later vacated, complete a special disciplinary employee review if more than 92 days have elapsed (for E-6 and below

Employee Reviews), 184 days (for E-7 and above Employee Reviews), or 19 drill periods (for reservists) between the conviction and the reduction dates.

- b. Reduction for incompetence or at the member's request.
 - (1) Complete a special reduction employee review effective the day before the effective reduction date.
 - (2) Use the competencies for the rate from which reduced.
- 5. At the end of a three-month probationary period for incompetency.
☞ Article 5.C.38.c.
- 6. For Servicewide Examination (SWE) purposes. Complete a special SWE employee review only if the rating chain has not completed an employee review for the current pay grade during the prescribed time frame for advancement. ☞ Chapter 5.C.
- 7. Complete a special employee review to allow Individual Ready Reserve (IRR) members to compete in a SWE.
- 8. A special employee review is required for a member who has an alcohol incident.

10.B.6. The Employee Review Process

10.B.6.a. General

- 1. The rating chain will evaluate each enlisted member on the required period ending date to assess his or her actual performance since the last recorded employee review. The rating chain shall base employee reviews on how the member performed in each competency consistently throughout the period, except for conduct, to which the member must adhere every day of the period. Normally, a single, isolated event (either positive or negative) should not drastically affect the marks assigned during the employee review period. However, the rating chain must consider the overall positive or negative impact of the event.
- 2. The rating chain uses employee reviews to evaluate enlisted members' performance of duties in any position or pay grade, whether in specialty or not.
- 3. For members with a limited opportunity to perform for reasons such as illness, injuries, pregnancy, use the following guidelines.
 - a. Occasionally, circumstances resulting from a temporary condition may limit a member's opportunity to perform. These circumstances may cause specific performance restrictions; e.g., those imposed by a medical authority, and may

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even require restructuring or reassigning duties. While rating chains shall not give preferential treatment, commanding officers shall ensure these individuals do not receive adverse employee reviews solely for these circumstances.

- b. In consultation with the health care provider, the commanding officer must establish a "reasonable expectation of performance" in the member's current circumstances. In particular, the commanding officer must determine whether a member requires reassignment to a different work environment, restrictions on performing specific types of tasks, or reduced work hours. When considering reassigning or restructuring duties, commanding officers should strive to identify service needs, which compliment the member's temporary limited abilities.
4. Members are divided into three pay grade groups: master, senior, and chief petty officers (E-9, E-8, and E-7); petty officers (E-6, E-5, and E-4); and non-rated personnel (E-3, E-2, and E-1). Use the non-rated employee review for non-rated personnel with designators.
5. Each competency is defined in terms of three performance standards: low, middle, and high. These standards are not the same for each pay grade group. The higher the pay grade group, the higher the standards become, as should be expected considering their increased training and experience. All raters shall mark each evaluatee against the written standards, not against others in the same rate or rating.
6. For a mark of 2, 4, or 6, the member must meet these standards and no others in the next higher performance standard. A mark of 4 represents the expected performance level of all enlisted personnel. Normally, a single, isolated event, either positive or negative, should not drastically affect the marks assigned during the employee review period. However, the rating chain must consider the overall positive or negative impact of the event.
7. Use the following guidelines to assign marks.

MARK	MEANS THE MEMBER CONSISTENTLY
1	(Unacceptable) - Did not meet all the written performance standards in the "2" level and the rater considered the impact severely detrimental to the organization or to others.
2	(Poor) - Met all the written performance standards in this level.
3	(Below Standard) - Did not meet all the written performance standards in the "4" block.
4	(Average) - Met all the written performance standards for this level and none in the "6" level.
5	(Above Average) - Met all the written performance standards in the "4" level and at least one of those in the "6" level.

6	(Excellent) - Met all the written performance standards for this level and did not exceed any of them.
7	(Superior) - Met all the written performance standards in the “6” level and exceeded at least one of them.

10.B.6.b. Documentation

1. The employee review is designed to inform members how they are performing compared to the written standards. The form requires few or no supporting remarks and should cover explicitly all performance factors for each evaluatee. The rater may use the employee review as a tool in counseling the evaluatee.
 - a. **Raters must provide supporting remarks for certain marks**  **Article 10.B.2. These remarks serve as supplemental information on the evaluatee in determining decisions such as OIC certification, removal for cause, regular duty assignments, or special duty assignments as a recruiter, instructor, investigator, or CMC.**
 - b. Specific comments that paint a succinct picture of the evaluatee's performance and qualities allow the reader to determine WHAT or HOW they exceeded or failed to meet the standards and may reduce or even eliminate subjectivity and interpretation.
 - c. The rater's challenge is to convey to the reader the performance picture observed daily. This is difficult because the reader does not “see” the evaluatee in action and cannot read into a general comment what the evaluator sees every day and takes for granted. If the reader cannot form a clear performance picture, the human tendency is to disregard or assign a lesser value to the comments. This “collective group of words” could be the deciding factor in today's competitive environment for choice assignments.
2. The Approving Official may solicit other comments on observed performance to support any marks at any time. Likewise, the Supervisor or Marking Official may comment any time either believes more should be said about the evaluatee in any competency or factor.
3. Use any comments that affected the employee review results during the counseling and feedback session.

10.B.7. The Advancement Recommendation

1. While the rating chain must consider past performance, it must also consider and base the recommendation on the member's potential to perform satisfactorily the duties and responsibilities of the next higher pay grade, qualities of leadership, and adherence to the Service's core values. Each rating chain member must address this independent section every time they complete an employee review.

2. When completing this part of the employee review, the rating chain should focus on the guidelines in ☞ Chapter 5.C. on advancement recommendations and then select one of the following choices.
 - a. **RECOMMENDED.** The member is fully capable of satisfactorily performing the duties and responsibilities of the next higher pay grade. The rating chain should choose this entry regardless of the member's qualification or eligibility for advancement. If the member has met all eligibility requirements, choosing this value constitutes an official recommendation for advancement.
Personnel, E-6 and above, must receive a supporting remarks entry clearly documenting their present and future leadership potential for greater responsibility ☞ Article 10.B.2.a.(1).(d).
 - b. **NOT RECOMMENDED.** The member is not capable of satisfactorily performing the duties and responsibilities of the next higher pay grade.
3. If the Approving Official marks "Not Recommended," they must ensure the member is properly counseled on the steps necessary to earn a recommendation and prepare supporting remarks ☞ Articles 5.C.4.b.1.l., 5.C.4.e.5.a., 10.B.2. , and 10.B.4.d.5.c.(4)(d).
4. The Approving Official's decision on the advancement recommendation is final and may not be appealed. However, if the Approving Official learns new information and decides to change the recommendation, they should follow the procedures in ☞ Article 10.B.11.b.

10.B.8. Good Conduct Award Eligibility



10.B.8.a. Eligibility

A new period of eligibility for the Good Conduct award begins any time a member receives an unsatisfactory mark in conduct or a competency type total mark less than shown in the following chart.

GROUP	MIL	PERF	PROF	LDRSHP
Nonrate	9	18	18	12 (E-3 only)
PO	6	21	18	21
CPO	6	27	18	21

10.B.8.b. An Unsatisfactory Conduct Mark

The rating chain must assign an unsatisfactory mark in conduct whenever an individual meets any of the criteria listed in ☞ Article 10.B.2.a.

1. Use the following guidelines to determine when terminating Good Conduct Award eligibility is warranted:
 - a. **On the effective date the member is awarded NJP or convicted by CM, or in civil court. Do not complete a special disciplinary employee review if the civil conviction was due to an alcohol incident for which the rating chain previously completed a special employee review. This exemption applies to alcohol incidents only. The rating chain must still document the civil conviction under  Chapter 8.B.**
 - b. On the employee review period ending date if the member receives an unsatisfactory conduct mark or lower than minimal competency marks or competency type totals.
 2. Assigning an unsatisfactory conduct mark may impact advancement to the next higher pay grade, change in rate, or participation in the Servicewide Examination.  Article 5.C. for specific guidance on advancements.
-

10.B.9. Appeals


10.B.9.a. General

1. The employee review is designed to be as objective as possible. However, when one human being evaluates another, there will be some subjectivity. Even when the member perceives no difference in performance from one period to the next, small variations in marks can occur.
2. The appeals process is designed to review marks the evaluatee believes were based on:
 - a. incorrect information;
 - b. prejudice;
 - c. discrimination; or
 - d. disproportionately low marks for the particular circumstances.
3. The recommendation for advancement portion on the employee review may not be appealed.

10.B.9.b. Responsibilities

1. The member.

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- a. Before writing an appeal, the member should request an audience with the rating chain to verbally express any concerns that could lead to a written appeal.
 - b. If this meeting does not lead to an agreement between the Approving Official and the member, the member can appeal in writing and submit the appeal to the Appeal Authority indicated in Figure 10.B.3.1., via the commanding officer. If the member has been reassigned, they must submit the appeal to the Appeal Authority for the former command, via the commanding officer of that command.
 - c. The appeal letter must contain the specific competencies in dispute and supporting information indicating why the marks should be reviewed. Supporting information must include specific examples of demonstrated performance that indicate how the member met or exceeded the written standards. The member attaches a copy of the signed employee review counseling sheet as enclosure (1) and other enclosures pertinent to the assigned marks.
 - d. The member must submit the appeal within 15 calendar days (30 calendar days for reservists) after the date they signed the acknowledgment section of the counseling sheet for the disputed employee review.
 - e. If appealing more than 15 calendar days (30 calendar days for reservists) after the date the member signed the employee review acknowledgment section, the member must explain the circumstances that did not allow or prevented him or her from submitting the appeal within the prescribed time limit.
2. The commanding officer. In most cases the commanding officer is the Approving Official. However, for commands such as district offices, area offices, and MLCs, the commanding officer might not be the Approving Official. In these instances, the Approving Official is synonymous with the title commanding officer for the below responsibilities.
- a. Each commanding officer must ensure all enlisted persons are aware of their right to appeal under this Article.
 - b. Each commanding officer must ensure counseling and clerical assistance are provided to any member desiring to exercise these appeal rights.
 - c. As a result of the appeal, a commanding officer may raise or leave marks unchanged, but may not lower any marks. If the member accepts the relief the Approving Official grants, the appeal need not be sent to the Appeal Authority. If the relief does not satisfy or only partially satisfies the member, the commanding officer must send the appeal and then comply with the change procedures in  Article 10.B.10.b.

- d. Commanding officers shall endorse and send the appeal letter to the Appeal Authority within 15 calendar days of receiving it from the member. The Appeal Authority may extend the 15 days if the commanding officer needs additional information before responding to the appeal; e.g., if a rating chain member has been transferred and the commanding officer needs more information from this member before they can respond to the appeal adequately. The commanding officer's endorsement should address this delay.
 - e. The commanding officer's endorsement shall contain specific examples of demonstrated performance that warranted the assigned marks and address any extenuating circumstances. The commanding officer shall ensure the member receives a copy of the command's endorsement.
3. Appeal Authority.
- a. The Appeal Authority must review and act on the appeal within 15 calendar days after receiving it. Commander, (CGPC-epm-1) may extend the 15 days if the Appeal Authority needs additional information from either the member or commanding officer before responding to the appeal.
 - b. In acting on an appeal, the Appeal Authority may raise or leave unchanged the member's marks, but may not lower any marks an Approving Official assigned.
 - c. Once the Appeal Authority has decided, they should ensure copies of the appeal package (member's letter, command endorsement along with all enclosures, and Appeal Authority's action) are sent to Commander, (CGPC-adm-3) for filing and to Commanding Officer, HRSIC (adv) for review and possible update to the member's employee review data.


10.B.10. Waiving and Changing Employee Review Marks

10.B.10.a. Waiving Employee Reviews

Occasionally it is either impossible to evaluate an evaluatee; e.g., the member was in-patient or on sick leave during entire period, or an employee review period is overlooked administratively. In these and similar situations the Approving Official can submit a request to HRSIC (adv), seeking a waiver of the entire period by letter, specifying the reasons.

10.B.11.b. Changing Employee Review Marks

- 1. Approving Officials are authorized to change any mark they assigned to members still attached to the unit if the Approving Official receives additional information that applies to the particular employee review period.

- a. If the employee review has not been marked final, the Approving Official discusses the marks with the Marking Official as noted in  Article 10.B.4.d.4. If they change any marks, those changes must be entered in CGHRMS. A new counseling sheet will be printed and acknowledge by the member.
 - b. If the Approving Official already has submitted the employee review to HRSIC, the Approving Official writes, signs, and sends a letter to Commanding Officer, HRSIC (adv) to request changing the marks. The letter should contain the following information.**
 - (1) The member's name, rate, and employee ID,
 - (2) The period ending date,
 - (3) The specific competencies being changed,
 - (4) The original numerical mark, **conduct mark or CO's recommendation for advancement,**
 - (5) The revised numerical mark, **conduct mark or CO's recommendation for advancement,**
 - (6) A statement the member has been advised of these changes.
 - c. Commanding Officer, HRSIC (adv) changes the member's employee review in CGHRMS.
 - d. The member shall verify through CGHRMS self service that their individual employee review has been properly updated.
2. If judicial proceedings are later set aside, the current Approving Official re-evaluates and adjusts marks on the special disciplinary employee review assigned by any Approving Official based on alleged offenses committed.
 3. **Any Approving Official who has reason to believe marks assigned by another commanding officer are erroneous shall write to Commander, (CGPC-epm-1) describing the circumstances. This letter shall include any supporting documentation and a recommended course of action.**